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ABSTRACT

Directed toward groups, organizations, and programs dependent on effective fund raising, this book views the grant management responsibility as an extension of fund-raising and offers advice on how to be successful at grant management. Such topics as grant program organization, management strategies, fiscal controls, monitoring, reporting and evaluation, and organizational development are discussed. Specific chapters deal with: types of funding grants, how to find grant sources, pre-application process (fund-raising strategy), grant proposal and application preparation, how grant proposals are reviewed, grant program management, contract research, and program evaluation. A sample request for proposal (RFP) and sample proposal are included. Appendices include information on unique features of community trust foundations, corporate donations, Foundation Center collections, state foundation directors, checklists for assessing an organization's funding capacity, the A-95 review process, proposal development checklist, federal grant negotiation, communication strategies for nonprofit community-based organizations, local government grant procurement tips, personal approach to fund-raising campaigns, Title XX social service programs, securing CETA funds, program management and managers, and volunteer boards of directors. (LB)

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How To Secure And Manage Foundation And Federal Funds In The 1980's

by Theodore M. Lawe

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This book is dedicated
to the groups, organizations, and programs
that depend on effective fund raising to
continue their program mission.

Author's Note

This book is the culmination of several years of experience, observations, and participation in assisting government agencies, non-profit community organizations, and charitable organizations raise funds for maintenance and operations of their programs.

As inflation increases and funds become more scarce, government agencies and non-profit organizations, such as those supported by United Way and United Fund, will have to develop additional skills at developing successful proposals for securing scarce funds. Recent data shows that although United Way and United Fund fund-raising efforts are increasing, they are not keeping pace with inflation; consequently, there is a loss in real dollars. This diminishes their program thrust. Community service organizations now have to seek funds directly from foundations and government sources.

Because of inflation and an assortment of other reasons, traditional community-based organizations, such as the Urban League, Opportunities Industrialization Centers (OIC), and Operation: Services, Employment and Redevelopment (SER) have experienced declines in their service delivery system. This means that the hard core unemployed and the disadvantaged suffer. In addition, inflation has forced more sophisticated fund raising on the part of volunteer groups, hospitals, and church affiliated organizations, e.g. YWCA, medical centers, and church related colleges and universities.

In my experiences with various public and private grant-making organizations, I have seen many worthy projects and programs not get off the ground because the persons and organizations submitting proposals were not aware of the "funding game" and did not understand the complex and complicated processes that have to be gone through in order to be successful at the art of fund-raising.

Secondly, I have witnessed several well-intended organizations, government agencies, and quasi-government agencies secure foundation and government grants, and then not be effective in achieving their intended goals and objectives because they were not aware of managerial responsibilities involved in grant administration.

This book, *How To Secure and Manage Foundation and Federal Funds in the 1980's*, views the grant management responsibility as an extension of fund-raising and offers timely advice, based on experience, on how to be successful at grant management. We discuss such subjects as Grant Program Organization, Management Strategies, Fiscal Controls, Monitoring, Reporting and Evaluation, and Organizational Development.

Many individuals and organizations contributed directly and indirectly to the success of this book. I cannot begin to name them all, but the most important individuals were Ms. Gwen McMillan who provided unselfishly of her time and effort in

critical editing and the many secretaries who typed the manuscript more times than I can count or want to remember.

My official positions as Executive Assistant to the Mayor of Detroit, Michigan; Director of Research, Planning and Evaluation with New Detroit, Inc., a public foundation; and Assistant to the City Manager of Dallas, Texas, have provided the most valuable experiences in writing this book. Thanks to the many unmentioned persons who have influenced my knowledge to the point of contributing to this book.

Theodore M. Lawe

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Introduction

This book is intended to be a desk guide and manual for the busy executives of government supported programs, non-profit, and social service organizations who depend on fund-raising to sustain their organizations and ultimately have responsibility for successfully managing foundation, corporate and government grants. Managing grant programs is an extension of the fund-raising process.

Many fund-raising efforts are not successful because the soliciting organization does not understand the dynamics of fund-raising and is not aware of the proven techniques that separate the successful from the unsuccessful.

The book provides "how to" strategies and examples of successful fund-raising techniques and grant management approaches. More specifically, the book is divided into ten chapters. The first chapter identifies the distinct differences between

government grants, foundation grants and corporate grants and helps to enhance your chances of securing the proper grant.

Chapter Two provides an overview of the primary sources of federal and foundation grants and suggests methods and procedures for conducting the grant source search.

Chapter Three describes how an organization prepares itself, internally and externally, to successfully seek grant assistance before the grant proposal is written. This step in the process reduces the time involved in preparing the grant package and improves the grantee's chances of securing the needed funds.

Chapter Four identifies and discusses major elements of the proposal and provides some definition for each element. The written proposal is important because it is generally the first contact a funding agency has with the grant-seeking organization. First impressions are lasting.

In Chapter Five the author provides some examples of criteria used by government and private foundations. There is no established, uniformed criteria used in making corporate grants. This is generally done on a more personalized/business objectives basis. The criteria discussed offers the opportunity for the reader to examine the commonly held priority considerations of grant-making organizations.

Once an organization has been successful in its fund-raising efforts, a program has to be organized, procedures established, staff hired, services delivered, and a host of other general management tasks have to be performed—action plans, fiscal reporting, fiscal audits, and program monitoring and evaluations. Chapter Six outlines these responsibilities in detail, with special emphasis given to federal grant programs which have complex statutes, regulations, and guidelines. An unsuccessful attempt in managing one grant program can affect future fund-raising efforts.

Chapter Seven discusses the role of contract research as the new approach for federal agencies in their research procurement activities. Recent trends indicate a decline in traditional federal

government grant making and an increase in the contract research approach. The "grantsman" may have to convert to the "contractsmen."

Program evaluation has become more important in recent years. Chapter Eight discusses the role of program evaluation in program planning and program administration. Various social science instruments are available to the program evaluation investigator.

A sample Request for Proposal (RFP) is provided in Chapter Nine. The RFP is increasingly being used by federal agencies and local governments seeking proposals for applied research. The sample RFP was actually used by the City of Dallas Office of Human Development in its efforts to solicit proposals for research in the area of child care services.

Chapter Ten provides an example of a successful proposal that was designed to seek federal funds for the support of the Institute for the Positive Approach to Discipline.

The Appendix section of the book contains information items supportive of chapter subjects and of general interest to grantee organizations in their research for grant funds.

Chapter 1

Types Of Funding Grants

There are three basic types of grants—government, foundations, and corporate. The federal government of the United States is the largest source of grant assistance. Over \$50 billion is granted annually for projects ranging from technical studies and improved service delivery to experimental research and subsidies for education.

Government grants usually involve long and complex proposals and applications. Funds generally go to support demonstration projects, research projects, and provide matching assistance to other government organizations or non-profit private corporations. It generally takes eight months to two years to successfully secure government funds. Foundation grants account for over \$3.0 billion in annual giving. They generally require a written proposal and extensive personal contact. Foundations favor giving support to demonstration programs, capital funds, and educational endowments. Less red tape is involved and the decision time is from seven to twenty months. Rarely do foundations give to support operating expenses. However, there are exceptions.

Corporate grants are difficult to get. There is not much information available and their grants are usually tied to their business objectives, office locations, or employee benefits. It is estimated from Internal Revenue Service reports, that corporate gifts amount to approximately \$1.5 billion annually. The decision time involved is generally from one week to eleven months. Corporate grants are usually under \$1,000.

The following represents an overview of the type and classification of grants by government and foundations.

Federal Government

Until recently the federal government made substantially all of its grants using the categorical approach. Only since 1972, with the General Revenue Sharing program, has the federal government used the block grant approach. Categorical funded programs are secured on a competitive basis for specific activities; the block grant approach, often referred to as the formula approach, allocates funds according to statutory distribution guidelines for reasonable unspecified activities. The primary source of information on federal grant sources is the *Catalog of Federal Domestic Assistance* that is published by the federal government.

Categorical Grants

There are over 1000 active categorical grants available. These are the principle grants that provide support to state, county and city governments. Non-profit corporations are entitled to receive direct grants from the federal government. Categorical grants are divided into four types: project, formula-project, formula-apportioned, and open-ended reimbursement grants.

Project grants are awarded on a competitive basis. Decisions are made on an administrative level. Approximately three hundred federal grants are in this classification.

Formula-project grants are awarded to states on a standardized formula basis for specific activities. These formulas usually involve income data, unemployment levels and the poverty index. Less than 40 federal grants are considered formula-project grants.

Formula-apportioned grants are distributed directly to recipients according to formulas prescribed in authorization legislation. Approximately 100 grants fall in this classification.

Open-ended reimbursement grants commit the federal government to reimburse a specific proportion of state-local program cost. The management practices are usually dictated in congressional legislation, leaving little administrative discretion. Aid for Families with Dependent Children and the Title XX Program are examples of this approach.

Block Grants

Block grants are relatively new. They have combined several categorical grant programs. They offer more flexibility and are tied to a pre-established formula, usually written into the legislation. Among the popular block grants are the General Revenue Sharing Program (1972), Comprehensive Employment and Training Act (1973), and the Housing and Community Development Act (1974). In each of these programs non-profit organizations are allowed to participate. However, grant proposals

and applications are submitted to cities, counties, and states for program funds.

Discretionary grants are a little known federal grant source. They correspond roughly to categorical grants, and are intended, in many cases, to bridge the gap between categorical funded programs and the new block grants. The use of these funds is at the discretion of the secretary of the federal agency.

Foundation Grants

There is an estimated 30,000 foundations in America that have philanthropy as their objective. Generally speaking, foundations are divided into five classifications. Since each foundation classification has its own emphasis and priority thrust, a working knowledge of the type of foundations can aid in fund-raising efforts. The five types of foundations are:

National and General Purpose Foundations

Foundations in this classification are generally large and take a national/international scope. The Ford, Johnson, and Rockefeller Foundations are three good examples. They hold over two-thirds of the assets and make about one-half of all foundation grants. Foundations in this classification are prone to support highly visible programs, pilot or demonstration programs, and programs with national applicability.

Community Foundations

According to the Council on Foundations, Community Foundations are the best source for support for local community-oriented programs. Community Foundations assets have increased many times over the past few years, compared to other type foundations that have shown a steady pace or decline in their assets, i.e., Ford Foundation. (See Appendix A: Unique Features of Community Trust Foundations.)

Special Purpose Foundations

These foundations limit their grant making to areas that are in their special interests. Program proposals directed to special purpose foundations should tailor their needs to the foundations' stated priority areas.

Corporate Foundations

Foundations in this classification are extensions of private corporations and generally make their grants in accordance with their business objectives. Their grants tend to go to support local community projects and educational activities. The Dresser and Tyler Foundations, based in Dallas, Texas, are examples of these type foundations.

Family Foundation

Foundations in this classification are generally small and controlled by a member of the donor family. They have little structure and maintain no full-time staff. Their proposal development process requirements are limited. Foundation priorities usually reflect the interests of the donor.

United Way of America

The United Way network is a source of funds for health and welfare projects. They vary in size and have strict qualifying guidelines for admission.

Corporate Grants

Corporate grants are generally under \$1,000. According to the Internal Revenue Service, in 1970, 1.8 million corporations filed income tax statements. Of that number, slightly over 20% of them made contributions to philanthropic causes. For those who did, the grants were generally along the lines of their business interest and they were usually made from an "investment posture." Recent data indicate that although corporate profits have gone up, corporate grants have gone down. In a few instances corporate grants are being channeled through United Way Campaigns and Urban Coalitions. A prime example of the latter is the financial support the automobile industry-utilities-banks provide New Detroit Inc., who in turn makes grants to community-based projects in Detroit, Michigan.

Corporations, in making grants, will generally ask a number of pertinent questions — How will this request help business? Who are the people asking for support? Will my employees benefit? (See Appendix B, Understanding Corporate Donations.)

Local Government

With the emergence of the federal block grant programs and their involvement with local government, cities and counties have become prime sources for community development and human resource grants. In the federal regulations that govern CETA, local government is encouraged to utilize community based organizations. The grant process is usually complex and highly political. Among the principal federal programs providing grant authority at the local level are:

Federal Revenue Sharing Program allocates over \$30 billion annually to local and state governments. These funds are not subject to rigid federal guidelines.

Community Development Block Grant Program represents a number of consolidated federal grant programs of the Great Society Era. Grants under this program are geared toward the physical environment and can only be allocated for human service programs that tie in with physical blight. Local government plays a major role with private developers in securing Urban Development Action Grants (UDAG). The essence of these grants is to form local public/private sector partnerships for purposes of economic development.

Comprehensive Employment and Training Program is directed toward the unemployed, underemployed, and the disadvantaged. Government agencies and community service organizations qualify for service deliver grants that utilize the hard core unemployed.

Economic Development Administration. Several programs under EDA allow local governments to subcontract with community service organizations in developing strategies to stimulate economic development and employment opportunities.

State Government has the responsibility for administering the federally supported Title XX Program, which is the largest funding source for social service programs. The Title XX

Program currently is budgeted at over \$2.5 billion. Appendix M provides a description of the program and advice on how to secure Title XX funds.

International Grant Making

Only a few foundations participate in international giving. Approximately 8 foundations give 90 percent of the international giving. These are large foundations. On the international scene, foundations play it safe. Government international grant making is done through the federal Agency for International Development. Millions of dollars are involved in this program. Grant making usually follows the economic and political interests of the United States foreign policies.

Among the foundations that engage in international giving are Libby, Rockefeller, Rockefeller Brothers Fund, and Ford.

RECOMMENDED READINGS

American Association of Fund Raising Counsel, Inc., *Giving USA*. 500 Fifth Avenue, New York, New York 10036.

The Council on Foundations, *The Foundation News*. P. O. Box 763 Old Chelsea Station, New York, New York 10011.

Donald Levitan and David F. Donahue, *The Grantsmanship Bibliography*. Government Research Publications, Box 122, Newton, Maine 02159.

Federal Funding Guide for Local Government. Government Information Services, Washington, D.C. 20045.

Monthly Catalog of U. S. Government Publications. Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

Chapter 2

How To Find Grant Sources

Finding the appropriate foundation, government agency, or corporation to fund a program is a difficult task. Funding organizations and agencies are located in all parts of the country. Each funding organization and agency has a separate set of funding guidelines and individualized priorities. How do you find the appropriate funding sources? You should first deter-

mine the "best" source of funds — foundations, government, or corporation. Each source has its own "trail to follow." Original funding source research and effective pre-application/proposal contact can improve your fund solicitation strategy.

Foundation Research Sources

The Foundation Center is the first place to look for general foundation information. Their publications can be found in Foundation Center Regional Collection Centers located in various parts of the country. Appendix C lists the nationwide locations. There are five primary sources that can offer the most valuable information in your search for foundation grant resources:

The Foundation Directory, Edition 6

This directory provides leads to the larger foundations. It includes pertinent information on foundation assets, officers, priorities, and its grant patterns. The directory lists the addresses for the larger foundations. To be included in the directory, a foundation must have at least \$1 million in assets or make over \$100,000 in grants in a year. It provides pertinent data on over 3,000 nationwide foundations.

The Foundation Grants Index

The Grants Index lists over 12,000 grants made for over \$5,000 by over 300 foundations for a variety of programs. This index is cross-tabulated. Data in this document will help you develop Foundation Profiles that can aid your funding search.

The Annual Register of Grant Support

This document provides much of the foundation data as found in the Foundation Directory; however, it provides additional detailed data on application/proposal procedures, deadlines, guidelines, and award comparisons.

The Foundation Center Source Book

This document contains basic information on over 200 large foundations. It contains primary information on grant-making activities and the addresses of foundations that make signif-

icant grants. Most important, the Resource Book contains reproductions of foundation annual reports and financial statements.

The Foundation Directory, The Foundation Grants Index, The Annual Register of Grant Support, and The Foundation Center Resource Book generally prove valuable to researching the larger foundations for possible funding resources. The best two foundation resources for the smaller foundations are the Internal Revenue Service files and Foundation Annual Reports.

Internal Revenue Service Files

It is required by law that all private foundations file IRS 990-AR and IRS-990 returns. These files are open to the public. They can be acquired from the Internal Revenue Service or the Foundation Regional Collection Centers on microfiche cards.

Foundation Annual Reports

Most foundations, large and small, publish annual reports. They usually contain information on a foundation's purpose, granting policies, priorities, officers, and a listing of its mailing address.

In addition to the primary research sources on foundations, there is usually available a state directory on foundations. Appendix D provides a list of state foundation directories. Many foundations only allocate their resources within their state. Many Texas-based foundations are cases in point. A working knowledge of your state foundations and their grant priorities is invaluable.

Government Research Resources

Information on federal grant assistance is voluminous. The most difficult task is to identify the most helpful information. There are over 1,000 federal grant programs. Most "grantsmen" that specialize in securing federal grants recognize the following government grant research resources as the most advisable to use:

The Catalog of Federal Domestic Assistance

This is considered the most comprehensive and reliable source of information on federal grant assistance. It is published annually by the Federal Office of Management and Budget. Among the pertinent information areas are:

- Program descriptions, which are listed by department and agency.
- Information on authorizing legislation, appropriations, eligibility requirements, regulations and guidelines, and types of assistance offered.

The Catalog contains a list of commonly used abbreviations and acronyms often used as a part of government jargon. The Catalog is available from the Superintendent of Documents in Washington, D.C.

The Federal Register

The Register is published daily by the federal government. It is the most up-to-date source of information on new programs and changes in regulations and federal guidelines. The Register is indexed monthly. It is of value to both the grantsman and the program administrator.

Commerce Business Daily

Although the Commerce Business Daily is used by private sector organizations, it offers opportunities for non-profit organizations. The Commerce Business Daily is used to announce contract offers by the federal government. It provides instructions on how to get Request for Proposals (RFP's), which include detailed information about proposed contract procedures and program intent. The CBD is found in most large libraries or can be subscribed to from the U. S. Department of Commerce.

The United States Government Manual

The Manual is not considered a traditional research tool to find federal funds. However, it is valuable because of its descriptions of all federal agencies and activities. Equally important are the addresses, phone numbers, and contact names for your funding search.

Corporation Research Resources

Because private sector corporations are not in business to give away funds, there are limits to the available information on corporate giving.

Corporations provide slightly over \$1.8 billion to charitable causes. There are no hard and standard rules for researching corporate giving. Proposals submitted to private corporations should be influenced by the corporate interest and corporate location. However, the following publications can provide guidance:

Fortune 500 List

Most corporate "giving" is done by large corporations. The Fortune list affords an opportunity to locate the larger corporations and research for the product interest and their profits, sales, and market value.

Standard and Poor's Register of Corporations and Dun and Bradstreet's Million Dollar Directory

Once the appropriate corporations have been identified, additional information can be found on the corporation from these two publications.

Corporate information can further be obtained from local Chambers of Commerce, newspapers, contacts, and various Who's Who publications.

Organizing Information on Funding Sources

As funding research is being conducted on potential resources, it should be coded and organized for future use. Among pertinent data to be recorded are:

- Names and addresses of potential funding sources.
- Catalog of the type grants recently made. This will serve to indicate the interest of the funding source (general support/capital improvements, endowment).
- Typical grant size and area of the country.
- Pertinent funding guidelines and application procedures.

- Composition of its Board of Directors and key decision makers.

This pertinent data should be recorded on standardized forms and maintained in the files. This information will help match the goals of the funding agency with those of the grantee.

Popular Federal Grant Programs and Foundation Grant Assistance

The major federal departments making grants to non-profit organizations and other governments are the Department of Health and Human Services (HHS), Department of Housing and Urban Development (HUD), Department of Commerce, Department of Transportation (DOT), the National Science Foundation (NSF), The Department of Education, and the National Foundation of Arts and Humanities. Other federal departments having limited grant-making programs are the Departments of Justice and Agriculture.

Department of Health and Human Services (HHS)

The largest federal grantor is HHS. Its programs are aimed at improving the delivery of social services. It makes grants to states, cities, and non-profit organizations. The following represents a summary of HHS's more popular programs:

Health

- Comprehensive Public Health Services
- Family Planning Projects
- Community Health Centers
- Mental Health—Hospital Improvement Grants
- Alcohol Demonstration Programs
- Drug Abuse Education Program

Human Development

- Child Development—Child Welfare Research and Demonstration Grants
- Runaway Youth Programs
- Rehabilitation Services and Facilities

- Special Programs for the Aging
- Youth Research and Development
- Training Grants in the Field of Child Welfare

Department of Education

- Emergency School Aid Program
- Bilingual Education
- College Library Resources
- Educational Broadcasting Facilities
- Supplemental Educational Opportunity Grants
- Handicapped—Research and Demonstration
- Right to Read Program
- Indian Education—Special Programs and Projects
- Educational Research and Development

Department of Housing and Urban Development (HUD)

- Community Development Block Grant Program
- Housing Management Training Program
- Subsidized Housing for Moderate and Low Income
- Public Housing Tenant Programs
- Urban Development Action Program

Department of Commerce

- Economic Development Programs
- Business Development Loans and Grants Program
- Technical Assistance Programs
- Fire Prevention Program

Department of Transportation

- Urban Mass Transportation Research and Development Grants
- University Research Programs

National Science Foundation (NSF)

- Research Grants for Scientific Oriented Issues/Problems
- University Research Programs

National Foundation on Arts and Humanities

- National Endowment for Humanities (NEH)
- National Endowment for the Arts (NEA)

The *Catalog of Federal Domestic Assistance* provides more detailed descriptions of the programs and indicates the grant-making conditions and guidelines.

The primary sources for foundation support are the Ford Foundation and Rockefeller Foundation. The Ford Foundation has shown strong support for urban demonstration programs directed at (1) educational improvement; (2) community development; (3) minority career development; (4) citizen participation; and (5) minority issues. The Rockefeller Foundation directs its assistance toward (1) international relations; (2) public education; and (3) applied research. For specific guidelines on programs, inquiries should be directed to the public information officers at the foundations.

RECOMMENDED READINGS

The Foundation Directory. Columbia University Press, 136 South Broadway, Irvington-on-Hudson, New York, New York 10533.

Catalog of Federal Domestic Assistance. Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

Federal Register. Superintendent of Public Documents, Government Printing Office, Washington, D.C. 20402.

Guide to Corporations: A Social Perspective. Council on Economic Priorities, The Swallow Press, Inc., Chicago, Illinois.

Chapter 3

Pre-Application Process: Fund- Raising Strategy

Groups and organizations showing the most success in securing grants and managing grants are those that provide ample time for program planning and adequate conceptualization of their projects. The pre-application process involves three areas: external coordination, internal coordination and project definition.

External Coordination

Giving ample attention to potential funding sources before developing the proposal is no guarantee to success; however, it can help to improve the chances of being successful in the fund-raising process. More specifically, external coordination should include:

- Secure written materials from all appropriate funding sources; e.g., proposal guidelines, funding ceilings, priorities, annual reports, etc. Request that your organization be put on the funding source mailing list.
- Conduct a preliminary survey on what organizations like yours are doing locally and nationally. Look for their program strengths and weaknesses.
- Establish a project file on each potential funding source with pertinent data on the Board of Trustees and key management staff.
- Research comments/opinions by national experts in the proposed program area. These statements can often be found in proceedings of national conferences.
- Make personal contact with potential funding officials to gain further insight into priorities of the funding organization or agency and their application forms and requirements.
- Implement an advocacy network of people with contacts that will speak favorably about your intended program.
- Contact all agencies/organizations whose support and cooperation you will need to insure the success of the proposed program.

Internal Coordination

- Designate a Proposal Development Coordinator, who will be responsible for coordinating your fund-raising efforts and interfacing with volunteers. This individual should have a good working knowledge of your organizations' goals

and objectives and track record.

- Review your organizational policies to find out if you have the authority to apply for the intended program. If not, policy modifications may be required.
- Assess the potential hazards of applying and securing funding from foundations or government. Will it change the priorities of the organization? Can the funded program be incorporated with on-going program activity? Appendix E provides a 10-point checklist for assessing your organization.
- Develop a "Data Book" on your organization that pulls together all pertinent data that a funding source may be interested in; i.e., annual reports, fiscal audits, financial statements, evaluation reports, newspaper articles, letters, etc.
- Organize a "Core Group" of appropriate people to participate in "brainstorming" sessions to thrash out your problem and propose alternative solutions.
- Develop a detailed credibility strategy for assistance in "marketing" your proposal. This strategy statement should highlight your organization's competence in conducting the program and your staff capabilities.

Project Definition and Operating Plans

- Develop a detailed description for your proposed program. This statement should document the problem needs and identify sources of data. This statement should use both quantitative and qualitative data. This should result in a "program abstract."
- Develop internal operating plans and a Management By Objectives Statement (Action Plan) for getting the proposals or applications completed. This should involve identifying the individual task activities, outline anticipated results, assign responsibilities, and establish target dates for completion.

The person charged with coordinating the development of the proposal/application package may not be the appropriate person to present or market the proposal. Foundations and granting agencies tend to respond more favorably to individuals of similar rank in the fund-seeking organization. Therefore, the most able "grantsman" might not be the best program "salesman." Different individuals may be in charge of proposal development, selling, and administration of the grant program.

If the grant-seeking organization is applying for a federal grant, it may be wise to spend a part of the pre-application time on becoming familiar with the Federal Office of Management and Budget's required grant-in-aid process.

A-95 Review Process

Office of Management and Budget Circular No. A-95 requires a mandatory review of over 200 federally-supported categorical programs. The primary section of the A-95 Review Process requires that grant applications under certain programs must be submitted to regional clearinghouses for review and comment. This process usually takes about 30-45 days. A list of the federal programs and projects which are subject to the A-95 Review Process may be found in the Appendix of the *Catalog of Federal Domestic Assistance*. Application packages from federal agencies usually indicate whether or not a proposal will be required to undergo the A-95 Review Process. It is a good idea, during the pre-application process, to contact the appropriate regional clearinghouse to inform them of your intentions to apply for a federal grant (see Appendix F, Understanding the A-95 Review Process).

Notice of Intent

A potential applicant for a federal grant needs to notify the regional clearinghouse and federal agency of its intent to apply for a federal grant. This notification of intent is filed on Standard Form 424. If this form is not filed, and the proposed program

is required to be reviewed by the regional clearinghouse, an additional 30 days is subject to be added to the mandatory review process.

Environmental Impact Statement

The National Environmental Policy Act of 1969 required that federal grant applications which involve physical development be required to conduct an environmental assessment. This assessment requires a detailed analysis of probable environmental consequences, both good and bad. The level of detail required in the Environmental Assessment Statement varies widely among federal agencies. The Community Development Block Grant Program, because of its traditional physical development thrust, generally requires detailed environmental assessment analysis.

In preparation for the management of a federal grant, fund-seeking organizations should be familiar with Federal Management Circular FMC 74-4, Federal Management Circular FMC A-110, and Federal Management Circular FMC 74-7. These three documents provide assistance in development program budgets and management strategies. Some of the basic areas covered are cost allocation plans, indirect cost provisions, program income, standards for grantee fiscal management, and reporting requirements. These three documents are discussed in more detail under Program Management.

Policy versus Implementation Planning

According to the Grantsmanship Center, there are six steps to successful program planning. Three are policy planning responsibilities and three are implementation planning functions.

Policy planning is a function of the Board of Directors. It should focus on: (1) definition of problem to be resolved; (2) broad organizational goals identification; and (3) identification of specific organizational objectives.

Implementation planning is a function of the paid staff. In the planning process, it should: (1) design program approaches for achieving the goals and objectives of the board of directors; (2) determine operational objectives for program methods and approaches; and (3) outline the order of activities to achieve the goals and objectives.

RECOMMENDED READINGS

C. West Churchman, *The Systems Approach*. Dell Publishing Company, New York, New York.

Norton J. Kiritz, "Program Planning and Proposal Writing," *Grantsmanship Center News*, 1031 South Grand Avenue, Los Angeles, California 90015.

Chapter 4

Grant Proposal/ Application Preparation

Up to this point, your grantsmanship activities have been geared toward understanding the mechanics of fund raising, conducting preliminary research on potential grant sources, and organizing the grant-seeking processes. You have now identified

and documented your program needs, selected the potential funding sources, developed your action plans and strategies, and made contact with the potential funding source. Now you are ready to take the crucial task of writing the winning proposal. Six key variables should guide your proposal/application activities:

- Your proposal should represent the quality of the program you intend to implement. The proposal should present a persuasive argument that promotes your program.
- Project optimism and confidence without appearing unrealistic. Be enthusiastic, but don't get carried away.
- Do not be theoretical; use the human approach. Describe how people will benefit from your program and facilities.
- Avoid the overuse of professional jargon; it may show you are smart, but it might not be understood by the reader.
- Build credibility through discussing your organization's strengths and weaknesses. Always write in a positive tone.
- Write, edit, and rewrite your proposal. The first draft should be considered a "Concept Draft." It is not uncommon to rewrite a proposal/application five times before submission.

Several graduate schools are organizing academic programs leading to the Ph. D. degree in proposal writing with the intent of raising the standards of proposal writers.

The Grant Proposal Format

Cover Letter and Title Page

Table of Contents

Abstract/Summary

Introduction

Problem/Needs Statement

Program/Goals/Objectives

Methods/Approaches

Management Strategy

Program Budget

Program Evaluation

Appendix

Elements of a Proposal

Depending on the level of detail in the proposal, the number of elements in the proposal may vary. However, knowledgeable grantsmen hold that there are eleven natural elements to a successful proposal. Each of these elements are discussed below with a definition of its purpose:

Cover Letter and Title Page

The cover letter should be short and to the point. Its purpose is to tell the funding agency/organization who you are and what you want. Important points outlined in the proposal and your anticipated results should be stated in summary form.

The title page should include all basic identifying information. More specifically, the title page should include the name of the project, the name of the organization the proposal is submitted to, the date of submission, and the name, address, and telephone number of the contact person. It is optional as to whether or not the requested amount of funds should show on the title page.

Table of Contents

A proposal over eight pages should have a table of contents. This enables the reader to understand the organization of the proposal and quickly turn to those sections of the proposal which are of significance to his interest. All pages in a proposal should be numbered.

Abstract/Summary Statement

This section of the proposal should not exceed two pages. It should be concise and to the point. It should capture the essence of the proposed program. It should motivate the reader to read further. Some proposals are rejected after review of the abstract/summary statement. As a practice, this section of the grant proposal should be written last. This will insure that all salient points are covered. More specifically, the abstract/sum-

mary statement should provide an understanding of the problem, goals, and objectives, and their strategy for accomplishment. Other pertinent issues to discuss are cost, coordination, and anticipated program results.

Introduction

The introduction should outline the credentials of your organization. Five basic areas should be covered:

- A history of your organization's track record in the accomplishment of intended goals and objectives.
- The impact your organization has had in improving conditions in your program area and the impact in the community.
- The background of the organization's board of directors, management, staff, and other key personnel.
- Describe how the proposed program fits into your ongoing program thrust and how your experiences apply to the successful administration of the proposed program.
- The tone of the introduction, as throughout the proposal, should convey enthusiasm, confidence, and concern.

Problem/Needs Statement

Much of the data base for this section of the proposal would have been developed in the research and proposal preparation phase. Both statistics and narrative should be used to define the problem and identify the subgroup it is applicable to — children, senior citizens, etc. More specifically, the needs statement should:

- Provide documentation to the problem to be addressed, highlighting how the national problem relates to your problem.
- Compare how the needs of your area are greater than other areas.
- Dramatize, without exaggerating, individual examples of the problem.

- Demonstrate an understanding of what other organizations are doing to resolve the problem.
- The problem should be stated free of bias of how the problem should be solved. The problem should not "second guess" the solution or strategy.

The problem/needs statement should provide the foundation for the entire proposal. All other sections should be linked to the problems and needs.

Program Goals/Objectives

This section of the proposal addresses what is to be accomplished. The program objectives should be as clear and concrete as possible. Goals are generally vague and intangible; objectives are stated in measurable terms.

Program goals should be realistic and not over-commit the program to tasks that are impossible to accomplish. Program objectives should be quantified to the extent possible.

Methods/Approaches

The purpose of this section of the proposal sets forth how the goals and objectives are going to be accomplished, given the constraints of the problem and resources. The methods/approaches section should demonstrate your methodologies and their soundness in tackling the problem. If possible, describe your methods in a task-activity-format.

This section should demonstrate your awareness of potential pitfalls, options, and what others are doing in the field. It is wise to include a time/task schedule for program implementation.

Management Strategy

Other sections of the proposal focus on the problems and the plans for solutions. The management strategy section of the proposal will focus on the ability of the organization to accomplish the stated objectives.

The management strategy should outline how the management responsibility is to be organized, identify key staff and

their roles in the project, allocation of time and reporting relations. Resume summaries should be provided on pertinent staff, showing their educational training, professional experiences, and other professional credentials.

Program Budget

The program budget is an attempt to translate methods and approaches into dollars. There is no one best way to structure a budget presentation; however, the following format has been proven successful.

PERSONNEL COST

Direct Personnel

Contract Services

NON-PERSONNEL COST

Rent

Utilities

Equipment

Supplies

Travel and Meetings

Miscellaneous Expenses

Many foundations and most government funding sources require detailed budgets in accordance with a standard format. The sample proposal budget in Chapter 9 provides an actual budget layout. Government Request For Proposals (RFP's) disallow any deviation from prescribed format.

It is advisable to provide a budget narrative section that explains your rationale and methods for establishing cost items. This will save the answering of many questions by proposal/application reviewers.

Program Evaluation

Most foundations and the government require a self-evaluation or post-independent evaluation to determine the program's effectiveness. If a detailed design is not available at the time of submission of the proposal, a statement should be provided in

your proposal to include: (1) the criteria for program success; (2) how pertinent data records are to be kept; (3) how the program will be monitored; and (4) at what points will it be evaluated.

A typical program evaluation design should include:

- A scheduled review of program objectives throughout the project to determine if the program is achieving its stated and planned objectives.
- Adequate measurement instruments, such as statistics, graphs, etc.
- Adequate data collection procedures, such as surveys, records, documents, etc.
- Adequate data analysis procedures that insure objective interpretation of data.

The evaluation final report should include a brief description of the program, concise statement of program objectives and procedures, a summary of the evaluation methodology, evaluation findings, recommendations, and an action plan to correct identified deficiencies in program operations.

Appendix

This section of the Proposal/Application should contain support data for the body of the proposal.

Proposal Submission Tips

Submission guidelines vary with funding sources; however, proposals submitted in response to an RFP usually have uniform requirements. Among the major requirements and submission guidelines are:

- The proposal is divided into two parts: technical proposal and business proposal.
- The technical proposal is required to be submitted as one original and eight separate copies.
- The business proposal is usually submitted as an original and two copies.

- The proposal cover sheet should be signed by an official authorized to bind your organization. The obligation is usually for sixty days after submission of proposal.
- The lower left-hand corner of the mailing envelope shows the RFP number to identify what the proposal is responding to.
- Late proposals are usually not considered unless they are the only proposal received.

Unnecessarily elaborate brochures or other presentations beyond that sufficient to present a complete and effective proposal are not desired and may be construed as an indication of your organization's lack of cost consciousness. Proposals should be neat, submitted on time, and in sufficient quantities. (See Appendix G, Proposal Development Checklist.)

Program Planning and Proposal Writing Tools

There is no one best tool available for proposal writing; however, a number of program-planning tools are commonly used. Among the most commonly used are:

Program Evaluation and Review Techniques (PERT)

The PERT planning tool is usually used to show the flow of major activities of a program. It is particularly useful in complex situations where a large number of major tasks are involved and it becomes necessary for the accomplishment of preliminary tasks before other tasks can be performed.

Critical Path Methods (CPM)

The CPM is similar to PERT. However, its focus is on identifying key decision points. It is usually used in flow chart form and organizes major task and key decisions.

Cost/Benefit Analysis

The Cost-benefit analysis approach is used to justify a program or a program sub-component. The data is usually displayed in chart form with cost associated with each program activity.

Milestone Chart

The Milestone Chart is usually displayed in chart fashion with the activity and the time involved. It may also include staff responsibilities.

Other popularly used program planning tools include the Gantt Chart, Task/Time Schedules, and Input-Output Tables. Each of these tools have their advantages in providing visual illustrations in proposal preparation. (See Appendix H, Guidelines for a Quality Proposal.)

RECOMMENDED READINGS

Joseph Dermer, *How to Write Successful Foundation Presentations*. Public Service Materials Center, 355 Lexington Avenue, New York, New York 10017.

Philip des Marais, *How to Get Government Grants*. Public Service Materials Center, 355 Lexington Avenue, New York, New York 10017.

Case Western Reserve University, Office of Research Administration, *Proposal Preparation Guide*. Cleveland, Ohio.

Mary Hall, *Developing Skills in Proposal Writing*. Continuing Education Publications, Corvallis, Oregon 97331.

The Grantsmanship Center, "Program Planning and Proposal Writing," 1031 South Grand Avenue, Los Angeles, California 90015.

Chapter 5

How Grant Proposals Are Reviewed

Most grant proposals and federal grant applications are reviewed by committees with written criteria designed to evaluate the technical merits and the feasibility of cost factors. A combination of these two considerations usually determine the suc-

cess of a proposal or program application under review. Most grantors review proposals first to see if the general guidelines are met and if the proposed program fits into their priority structure. Those proposals meeting this preliminary review are sent to technical committees for more in-depth reviews. Those proposals not passing the first test are eliminated from competition and the potential grantee notified by letter or telephone.

The following represents a composite of the criteria elements involved in reviewing proposals and grant applications for funds:

Criteria	Point Value Assigned
A. Management Capability The contractor offering the proposal should possess or be able to obtain an adequate financial accounting, management, personnel and procurement system. In addition, management staff should have demonstrated experience in the conduct of similar assignment as being proposed.	20
B. Rapid Start-up This criteria rates proposals on the speed with which projects can be brought into implementation to minimize the lag.	20
C. Demonstrated Effectiveness The proposal will be rated under this criteria on the evidence presented demonstrating that the offerer has a satisfactory record of past performance in the provision of similar services for other organizations or the community.	15

- | | |
|---|----|
| D. Responsiveness to the RFP | 20 |
| This criteria is used to assess the ability of the offerer to meet the program requirements described in the RFP on program description. | |
| E. Meeting Cost Constraints | 20 |
| Examination of the proposal under this criteria concerns itself with the feasibility of the offerers proposal to fall within cost constraints. Emphasis is given to efforts by the offerer to minimize administrative cost. | |
| F. Replication | 3 |
| This criteria is used to determine the ease by which the project can be replicated and expanded to other high need areas. Demonstration projects rate this highly. | |
| G. Be otherwise qualified and eligible to receive an award under applicable City, State, and Federal regulations or foundation regulations. | 2 |

The above criteria and its appropriate point value weights will vary between foundations and government donors. However, the evaluation principles are consistent. The criteria is most applicable to government agencies and larger foundations. Small family directed foundations and corporations are more subjective in their evaluation processes.

In addition to the general contents of the proposal, most funding organizations ask for an organization's capability statement, which is supposed to speak to the organization's staff capabilities, facilities, and past performance with similar type contracts and grants. Among the typical questions that most funding agencies and foundations ask are:

Grantee Staff

- What specific staff will be assigned to conduct the activities supported by requested assistance?
- Does the proposed staff have the necessary education, training, and experience necessary to successfully complete the proposed tasks?
- Have contingency plans been made in the event the proposed staff is not available as planned?
- Has enough staff resources been allocated to assure the proper management of the project? Is the management team experienced in the proposed scope of work?
- Is the author of the proposal a part of the senior management proposed for execution of the project?

Grantee Facilities

- Are the facilities and equipment adequate to perform the proposed activity?
- If other than the grantee facilities are to be used, are they accessible and adequate?
- Is a realistic time schedule planned if some services are to be performed apart from those of the grantee organization?

Grantee Track Record

- Does the grantee organization have a demonstrated successful track record in the activity area proposed?
- Does the grantee list adequate references for contact to substantiate the statements regarding past experiences?
- Are the statements of past experiences written in such a fashion that one can understand what they are?

If the proposal is considered acceptable, the grantee organization is requested to meet with the funding source for further conversations. In many instances, the grantee will be asked to make revisions in his proposal. Proposals rated unacceptable are eliminated from the competition and their sponsors notified. Organizations submitting successful proposals are entitled to a "debriefing session" where the pro's and con's of their proposal are discussed. The debriefing session can be extremely important

because it affords an organization an opportunity to hear its strengths and weaknesses. The next time around, the organization can strengthen its proposal.

Requests for debriefing are usually done in writing. The contract officer and the project officer usually handle the debriefing. Under some circumstances, the unsuccessful organizations will be allowed to review the winning proposal upon request. The Federal Information Act can be used in obtaining a copy of the winning proposal if no restricted information is involved.

RECOMMENDED READINGS

There is no one best source of information on criteria used to evaluate proposals. Interested persons should consult the appropriate government agency or foundation on its criteria. Keith Baker's article, "The New Contractsmanship," found in the *Grantsmanship Center News* (1976), sheds some light on reviewing proposals for applied research. The procedures are similar for grant proposals.

Chapter 6

Grant Program Management

The management skills used in the public and non-profit sectors are no different from those used in the private sector. As Peter F. Drucker states in his book, *Management: Tasks, Responsibilities, and Practices*, management is a generalist responsibility—coordination, controlling, and reporting. The tasks can be accomplished through the development of a five-step management strategy.

Grant Program Organization
Program Action Plan
Fiscal Management
Monitoring and Reporting
Organization Development

Grant Program Organization

In the preparation of all grant proposals, ample time should be allowed for organizing the program and integrating the program activities into the parent organization's systems and procedures. The first step is to develop a Program Management Plan (PMP), which serves as an operational definition of the program and establishes operational procedures and job responsibilities. The PMP address the following:

- A comprehensive and authoritative statement of the mission of the program.
- An organizational structure for program management.
- A definition of program tasks and their interrelationships.
- An assignment plan for program goals and objectives.
- A program master schedule, program indicators, and milestones.
- A program control methodology for the attainment of program goals and objectives.

The Program Management Plan should specify (1) management responsibilities and accountability, (2) provide for frequent revisions/updating; and (3) serve as a summary document to give guidance to the development of more detailed program procedures.

The Mission Statement should set forth the general mission of the program with its anticipated results. This statement should parallel the goals and objectives as set forth in the grant proposal. It should set limits on what the program can achieve in the time frame established.

The Organizational Structure should be designed to facilitate communications and provide for effective program results. The

structure should be simple with each function providing a contributory activity. Duplication of effort should be minimal.

The Program Tasks should be sub-divided into their logical activities, with each activity divided into units of work. Special attention should be given to scheduling program tasks to complement each other and provide for an orderly flow of output. Program management tools, such as CPM and PERT, are useful in organizing program tasks.

The Assignment Plan should assign specific tasks to functional components of the organization. The assignments should be arranged to enhance the attainment of the general goals and objectives of the program. In addition, the assignment plan should set forth functional responsibilities, anticipated results, dates for completion, and cost estimates, if available.

The Master Schedule should be printed and made available to all program managers in the organization. It should establish program indicators for performance and milestones. The Master Schedule Network should show the interrelationships of the various program components and provide a systems approach to program management.

The Program Control Methodology should establish the reporting relationship between general management, functional administration, first line management, and program technicians. Detailed procedures should be developed to specify required program and fiscal reports. In large, complex organizations, a Management Information System may be advisable. Every effort should be made to link program reporting to fiscal reports. The reports should be generated on a prescheduled arrangement with program review criteria.

The Program Management Plan should be used to test the program results on a quarterly basis. If program results are not being realized, then a *Corrective Action Plan* should be developed.

Program Action Plan

The purpose of the *Program Action Plan* is to provide detailed implementing instructions to carry out the broad program objectives outlined in the Program Management Plan. There is no one best way to develop the Action Plan. Many successful grant program managers use the *Management By Objectives* approach. The MBO approach incorporates the following items:

- A stated goal/objective to be achieved.
- A group of program activities required to realize the stated goal/objective.
- Anticipated results of the program activity.
- An accomplishment date for achieving the goal/objective.
- The cost requirements involved.
- Identifies the responsible program manager.
- Establishes a reporting and review date for program results.

The *Goals and Objectives Statement* of the Program Action Plan should be a restatement of the goals and objectives outlined in the grant proposal and the Program Management Plan. These goals and objectives should be quantified to the extent possible with supporting narrative. Each goal/objective should be stated separately for clarity and conciseness.

Program Activities should specify what will be done to realize the program goals and objectives. The Program Activities should be subdivided with an appropriate numbering system. The activities should be logical and achievable.

The Action Plan should provide for a section on *Anticipated Results*. These results are linked to the Program Activities and Goals and Objectives Statements. To the extent possible, results should be quantified and stated in measurable form.

The *Accomplishment Date* should be realistic and take under consideration any identifiable barriers to achieving program goals and objectives. The dates should be firm and only adjusted after consultation with program management. If Accomplishment Dates are not met, then the question should be raised

— *Why?*

To the extent possible, cost associated with each goal/ objective should be estimated. This information helps to determine if a goal/objective is cost effective and where the cost centers are in the organization. The question has to be raised, "Is the achievement of the goal/objective worth the cost, given other alternatives?"

A *Program Manager* should be assigned the attainment of each goal/objective. This builds accountability and measures employee performance to the success of the overall organizational mission.

Reporting and Review Dates should be established to assess the progress of the program activity and to identify any unanticipated problem areas. Program Activity modifications may become necessary as program operations are undertaken.

The development of the program Action Plan should be the responsibility of top management working with the functional managers. The Program Action Plan should be reviewed, and discussed with all employees having a responsibility for the achievement of the program goals and objectives. To the extent possible, consensus should be sought.

Fiscal Management

One of the weakest areas in grant administration is fiscal management. There are no universally used fiscal management systems. However, the most comprehensive systems are those required in the administration of federal grant programs. To some extent, private donors have incorporated the financial management strategies of the federal government. The federal fiscal management principles are incorporated in Federal Management Circular 74-7, Federal Management Circular FMC A-110 and Federal Management Circular 74-4. The fiscal management principles of these three documents should be incorporated into any fiscal management plan developed for the administration of grant programs:

- FMC-74-7 establishes uniform administration requirements for grants-in-aid to state and local governments. In general,

it sets minimum requirements for financial records, supporting documents, statistical data, and other pertinent data applicable to federally supported programs.

- FMC A-110 establishes uniform administrative standards for non-profit organizations receiving grants from the federal government.
- FMC 74-4 establishes cost principles and procedures for establishing cost allocation plans and indirect cost rates for grants and contracts with the federal government.

Allowable Cost. At contract signing, it is advisable to have specified in the contract all allowable and unallowable cost. This will avoid misunderstandings during the program administration period. Tables I, II, and III illustrate which cost items are allowable and unallowable, and which cost items require prior donor/grantor approval.

Financial Management System

Standard accounting procedures applicable to financial program management requires the development of a financial management system that provides for:

- A financial system that is accurate, current, and completely discloses the financial results of the grant program.
- Maintenance of financial records which identify adequately the source and application of funds for grant-supported activities; e.g., grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays, and income.
- Maintenance of effective control over and accountability for all funds and property.
- Comparison of actual with budgeted amounts for each grant program.
- Procedures for determining the allowability of costs.
- Accounting records supported by source documentation.
- Provisions for regular audits as the program requires and is considered reasonable.
- A system for resolving audit findings and recommendations.

TABLE I
GRANT MANAGEMENT ALLOWABLE COST ITEMS

<u>COST ITEM</u>	<u>COST DETAIL</u>	<u>COST ITEM</u>	<u>COST DETAIL</u>
1. Accounting	- Cost of establishing and maintaining accounting and other information systems required for the management of grant programs. - Not allowable is central record-keeping such as Treasurer, Controller, or similar officials.	5. Bonding	- Costs of premiums or bonds covering employees handling grant funds.
2. Advertising	- Recruitment of personnel required for grant program. - Procurement of goods and services required. - Disposal of scrap or surplus materials acquired in performance of grant.	6. Budgeting	- Costs incurred for the development, preparation, presentation, and execution of grant budgets.
3. Advisory Councils	- Committees and councils established in connection with federal requirements to carry out grant program.	7. Building Lease Management	- Administrative cost for lease management.
4. Audit Services	- Audits necessary for the administration and management of the grant program.	8. Central Store	- Cost of maintaining and operating a central store for supplies/equipment/materials used in the grant program.
		9. Communications	- Costs incurred for telephones, telegraph, teletype, WATS, centrex and messenger service.
		10. Compensation for Personal Services	- Remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including, but not necessarily limited to, wages, salaries, and supplementary compensation and benefits.

Table 1 Grant Management Allowable Cost Items (Continued)

11. Disbursing Services	- Services covering the processing of checks or warrants, from preparation to redemption, including the necessary records of accountability and reconciliation of such records with related cash accounts.	17. Memberships, Subscriptions, and Professional Activities	- Costs are allowable when the primary purpose is directly related to the grant program.
12. Employee Benefits	- Allowable to the extent that it is reasonable and in accord with the organization's policy.	18. Personnel Administration	- Costs for the recruitment, examination, certification, classification, training, and related activities for grant program.
13. Employee Morale, Health, and Welfare Costs	- Cost of health or first-aid clinics and/or infirmaries, recreational facilities, employee counseling services and other related expenses.	19. Printing and Reproduction	- Costs for printing and reproduction services necessary for grant administration, including, but not limited to, forms, reports, manuals, and informational literature.
14. Exhibits	- Costs of exhibits relating specifically to the grant program.	20. Training and Education	- Costs of in-service and out-of-service training involved in employee development.
15. Legal Expenses	- Expenses required in the administration of grant program.	21. Transportation	- Cost incurred for freight, cartage, express, postage and related activities in connection with grant administration.
16. Materials and Supplies	- Purchases made specifically for the grant program should be charged at their actual prices after deducting all cash discounts, trade discounts, rebates, and allowances.	22. Travel	- Costs for transportation, lodging, subsistence and related items for employees on official business incident to the grant program.

Source: FMC 74-7; FMC 74-5; FMC A-110.

TABLE II
UNALLOWABLE GRANT PROGRAM COSTS

<u>COST ITEM</u>	<u>COST DETAIL</u>	<u>COST ITEM</u>	<u>COST DETAIL</u>
1. Bad Debts	- Any losses arising from uncollectible accounts and other claims and related costs.	5. Fines and Penalties	- Costs resulting from violations of, or failure to comply with laws.
2. Contingencies	- Reserve on any provisions for unforeseen events are unallowable.	6. Interest and Other Financial Costs	- Interest paid on borrowing funds to operate program.
3. Contributions and Donations	- No gifts to charitable or political causes are allowable.	7. Legislative Expense	- No funds can be used to influence or initiate legislation.
4. Entertainment	- Cost of Amusement, social activities, and incidental costs relating thereto, such as meals, beverages, lodgings, rentals, transportation, and gratuities.	8. Grant Overruns	- Excess of cost over grant amount is unallowable.

Source: FMC 74-7; FMC 74-4; FMC A-110.

TABLE III
COSTS ALLOWABLE WITH APPROVAL OF GRANTOR

<u>COST ITEM</u>	<u>COST DETAIL</u>	<u>COST ITEM</u>	<u>COST DETAIL</u>
1. Automatic Data Processing	- Acquisition of equipment whether by outright purchase, rental-purchase agreement, or other method of purchase is allowable only upon specific prior approval by grantor.	4. Insurance and Indemnification	- Cost of insurance in connection with grant administration is allowable under special circumstances, with the prior approval of the grantor.
2. Building Space and Related Facilities	- Costs of space may not exceed the rental cost of comparable space and facilities in a privately owned building in the same locality. Cost cannot be for space during times of non-usage without authorization of the grantor.	5. Management Studies/ Professional Services	- Cost of management studies conducted by independent consultants requires prior approval.
3. Capital Expenditures	- Costs of purchase or the improvement of any capital assets are allowable with prior approval by grantor.	6. Pre-Agreement Costs	- Allowable only when provided for in the grant agreement.
		7. Proposal Costs	- Allowable only when provided for in the grant agreement.

Source: FMC 74-7; FMC 74-4; FMC A-110.

The professional assistance of an accounting firm should be sought to assist in the design of an appropriate accounting system. Several accounting firms have experience in conducting fiscal audits on grant programs.

Financial and Program Performance Reporting

The required contents of financial and program performance reports vary; however, most grant programs require similar reporting indicators.

Financial reports are sometimes required to be submitted on standardized forms. Among the various items they usually cover are:

- *Accrued Expenditures*

Are expenses the grantee charges during a given period for (1) goods and tangible property received; (2) services performed by employees and contractors; and (3) amounts becoming owed under programs for which no current services or performance are required.

- *Accrued Income*

Is income due the grantee from (1) services performed by the grantee; (2) goods and other tangible property delivered to purchasers; and (3) amounts becoming owed to the grantee for which no current services or performance are required by the grantee.

- *Disbursements*

Payments in cash or by check.

- *Funds Authorized*

Include total funds available to the grantee organization over a given period of time. This may include any carryover funds.

- *In-Kind Contributions*

Include non-cash contributions provided the grantee. This is important in matching grant arrangements.

- *Obligations*

Services or property received and will require payment at a later date.

- *Outlays*

Represent charges made to the program. Outlays can be reported on a cash or accrued expenditure basis.

- *Unobligated Balance*

Portion of funds authorized by the grantor but not used or obligated by the grantee.

- *Unpaid Obligations*

Obligations incurred by the grantee but have not been paid.

The frequency of the financial reports is determined by the grantor. Federal agencies usually require reporting on thirty-day intervals. Private foundations usually require quarterly financial reports.

Program Performance Reporting

Program Performance Reporting is required by grantors and vary in their formats. The grantee has responsibility for constantly monitoring the performance of grant-supported activities to insure that schedules are being met, projected work units by time periods are being accomplished, and other performance goals are being achieved. The Program Performance Report should (1) compare the actual program accomplishments with planned activity; (2) provide reasons for slippage in those areas where established goals are not being met; and (3) provide analysis and explanation for cost overruns and isolated high unit costs.

The Program Performance Report and the Financial Report are usually submitted together in order to provide the grantor with a comprehensive overview of fiscal and program management results. (See Appendix I, Key Items to Watch in Negotiating for Federal Grants.)

Organization Development

Employees are the most valuable asset in the performance of an organization's mission. Training is one of the most misunderstood and overlooked management responsibilities. As part

of organizational development, training needs to be extended to the primary boards and committees of the organization, management, and functional staff.

Board of Directors training needs to be directed at (1) personal responsibilities of board members; (2) management responsibilities of board members; (3) legal responsibilities of board members; (4) understanding the budgetary process from the ground up; (5) setting long and short-term goals; and (6) effective public relations. (See Appendix R.)

Management Training should include (1) the role and responsibility of management; (2) effective management approaches and styles; (3) managerial skills; and (4) the manager and his work.

Staff Training should be designed to develop staff competencies in understanding grantor guidelines through comprehending the (1) mission and objectives of the program; (2) communication skills development; and (3) setting priorities and designing work tasks.

Recent surveys show a higher level of productivity in those public and non-profit organizations that devote ample time to training and organizational development.

RECOMMENDED READINGS

OMB Circular A-110. Publications Office, Office of Management and Budget, Washington, D.C. 20503.

FMC-74-7 and FMC 74-4. Publications Office, Office of Management and Budget, Washington, D.C. 20503.

OMB Circular A-95. Publications Office, Office of Management and Budget, Washington, D.C. 20503.

General Accounting Office, *Standards for Auditing Organizations, Programs, Activities, and Functions*. Superintendent of Public Documents, Government Printing Office, Washington, D.C. 20402.

Chapter 7

Contract Research

In recent years federal funding interest has increasingly been pointed toward contract research. This has paralleled the move away from basic to applied research. The growth in applied research is most noticeable with the Department of Labor, the Department of Energy, the Department of Education, the Community Services Administration, and the Department of Housing and Urban Development.

The applied research contract focus is an effort to move away from the independent researcher or university professor type to the more practical approach to research. This provides the federal agency letting the contract more control over the research activity and its ultimate results.

Most applied research is awarded through competitive bidding. The federal agencies usually use a Request for Proposal (RFP) to make known their intent to contract for services. The RFP lays out the detail on the (1) intent of the project, (2) the problem to be resolved, (3) the scope of services requested, (4) the anticipated research design, (5) the proposal rating scale, and (6) the time and place for the proposal to be submitted. All RFP's that exceed \$5,000 must be published in the *Commerce Business Daily*, the official shopping list for business with the federal government. RFP's can be secured by requesting to be placed on the mailing list of federal agencies.

Proposals in response to RFP's are written differently from those "self-initiated" for categorical funded programs and foundation funds. If you are planning to respond to an RFP, it is advisable to have a representative from your organization/agency attend the Pre-proposal Conference, which is usually held shortly after the RFP is released. The Pre-proposal Conference offers an opportunity for proposers to answer questions and get clarification to the RFP intent. In addition, it is also a way to get acquainted with the agency officials, and measure the level of response the RFP will receive. Pre-proposal Conferences are usually limited to a maximum of three representatives from one agency/organization.

If your organization is unable to send a representative because of cost, distance, or inconvenience, it is advisable to submit your questions in writing. This allows the agency to become aware of your organization and your intent to apply for the contract. In many instances, pre-proposal conference transcripts are made available.

Proposals submitted in response to RFP's are usually submitted in two volumes. The Technical Proposal outlines what

you propose to do in response to the RFP. The Business Proposal speaks to your strategy for managing the project and reporting in a timely fashion.

Volume I: Technical Proposal

The Technical Proposal is divided into six major sections as follows:

Abstract

Background

I. Viability of Project

II. Proposers Capability Factors

III. Proposers Statement of Work

IV. Other Related Work

The proposal abstract should be not more than 1500 words and provide an overview of the proposed activities, including objectives, methods, approaches, management strategy and proposed timeframes. Cost data regarding the project should be excluded.

The proposal background statement should describe your organization's track-record in handling similar projects and the successes that you can demonstrate. It is also important to state how you decided that your organization has the capabilities to conduct the proposed project, e.g. feasibility studies, unique involvement, or special skills. It is advisable to summarize similar projects that you have undertaken.

The project viability section of the technical proposal should deal with feasibility, cost, benefits, and how a client group or the general population would be served. For instance, a proposal for manpower services would indicate who would be served, how the services would improve a client's employability, and the subsequent contribution the client would make by becoming a "tax payer" rather than a "tax eater." The more economic and social benefits shown, the better the chances are for the proposal to be funded.

Your organization's capability factors discussion should address four areas:

- speak highly of your organization's staff, capability, experiences, facilities and accomplishments;
- should provide a multi-disciplinary approach to problem solving and staffing the project;
- demonstrate your professionalism and dedication to the area of research being proposed; and
- show how your organization is the leader in the conduct of the proposed type research project.

The proposers statement of work should be directed at what is to be accomplished and how it is to be accomplished. Project activities should be outlined by individual task. This section of the Technical Proposal should be written in such a form as to lead to discrete discussion points in project development. Further, the statement must be in sufficient detail to define what is to be accomplished. The statement of work should be used in the final contract agreement.

Section IV, Other Related Work, of the Technical Proposal should provide a discussion of the start-up activities. At a minimum; the discussion should include contingency plans for the project. This will demonstrate that your organization has thought out the processes for making the project successful.

Volume 2: Business Proposal

The Business Proposal is divided into six sections as follows:

- I. Management Strategy
- II. External Support Systems
- III. Financing Strategy
- IV. Acceptance of Assurances and Agreements
- V. Program Costs and Budget
- VI. Reporting Requirements

The management strategy should outline a detailed assessment of the management requirements associated with the project and the proposers management design and structure for successfully managing the project. More specifically, the proposer should identify the management aspects of the project

considered most critical to the achievement of the project's goals and objectives. Special attention should be given to minimizing project risk.

The project team should be described showing the organizational and functional relationships. An organizational chart with man-hours or percentage of key-personnel time should be provided. The management strategy discussion should show:

1. How the project manager will direct and coordinate the efforts of the project team.
2. How the project manager will interface and report to the agency's contract officer.
3. If advisory committees will be used, and their relationships to the project.
4. List project staff assignments by tasks.

If external support systems are to be used, they should be identified in the Business Proposal. Support systems can include special equipment, computer facilities, unique data, or special facilities.

The Business Proposal should include a financing strategy statement which discusses the status of all existing and proposed financing arrangements affecting the project. In addition, the financing strategy should include:

1. A description of all past and proposed funding directly related to the project.
2. Identification of banking institutions and other financial institutions that will be involved in the project.
3. It is usually not required, but it helps to provide a chart showing cash flow and peak cash needs.

Most government contracts carry a number of agreements and assurances that must be agreed to. They usually involve wage scales, equal opportunity employment, and prohibition against political participation. The proposer should agree to abide by all federal, state, and local laws. The inclusion of a paragraph is usually sufficient to cover this requirement.

The Business Proposal should outline in detail a budget for the project showing when funds will be received and applied. Budget narrative should be used to justify and explain the reasons for program cost items.

Two types of reports are usually required. The Quarterly Report is prepared 30 days following the quarter being reported. The Final Report is usually required 30-60 days after the project is terminated.

Quarterly Report

- written report outlining accomplishments to date and planned accomplishments for the coming quarter;
- management/milestone chart;
- expenditures during reporting quarter and planned expenditures for coming quarter.

Final Report

- written report outlining project accomplishments by objectives, and the overall methodology used in project administration;
- summary of total expenditures and audit reports, if available;
- list any recommendations for improving the project should it be undertaken at a future date.

In some instances, when the project is of a physical nature, an Environmental Impact Survey will have to be prepared and submitted for approval. It usually focuses on:

- the potential beneficial and detrimental impacts resulting from the proposed project;
- conclusions which can be made about the significance of predicted impacts, and mitigation measures which may resolve those impacts;
- a discussion of the unresolved issues which may affect the project.

When Environmental Impact Surveys are required, an engineer is usually commissioned to conduct the survey and provide a professional opinion.

Proposals submitted in response to RFP's are reviewed on three levels — (1) preliminary evaluation, (2) comprehensive evaluation, and (3) program policy factors. Trade secrets and other confidential information, for protection, should be identified as such by page numbers and paragraphs.

RECOMMENDED READINGS

Keith Baker, "The New Contractsmanship," *Grantsmanship Center News*, 1976, 1031 South Grand Avenue, Los Angeles, California 90015.

The Report of the Commission on Government Procurement, Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

Chapter 8

Program Evaluation

In recent years with philanthropic funds becoming more scarce, program evaluation has become more important. A sizable number of foundations and government agencies have required evaluations. These evaluations have been performance evaluations, financial audits, process evaluations, management evaluations, impact evaluations, and goal attainment evaluations. No matter what type of evaluation is conducted, the end result is that program evaluation is now becoming a tool to determine if programs should be refunded and continued.

Funding proposals should provide a section on Program Evaluation. Program evaluation does not come at the end of a program but should be started with the initiation of program activity. Program evaluation is an ongoing process that starts with the setting of program goals and the establishing of criteria to determine their level of attainment. For instance, many program evaluation studies are geared toward planned versus actual activities. In essence, evaluators will evaluate whether the program achieved the goals and objectives as set forth in its original program design.

As near as possible, program goals and objectives should be quantified for purposes of evaluation. Too often social programs in particular do not quantify their goals and objectives to the extent that they are measurable. The following examples are of a quantifiable objective and an unquantifiable objective:

Wrong: To assist disadvantaged students in gaining employment as a vehicle for social growth and development.

Right: To assist 100 disadvantaged students in securing public and private sector employment as a means of their social development.

What is the difference? The wrong way is a broad statement that could be difficult to evaluate because it does not hold the program to any real attainable objectives. The right way provides quantifiable objectives that can be measured "to assist 100 disadvantaged students . . ." An evaluation would state whether or not your organization achieved its objectives.

Most grant programs, both non-profit and government, usually provide for program evaluation studies in their budgets. Five percent of the total budget is considered reasonable. This is an allowable cost. Many private management consulting firms are trained and experienced in conducting evaluation studies. By using a management consulting firm, objectivity is built into the program's evaluation process. Program evaluators can be secured through the RFP or sole source process. Both are acceptable methods currently in use by non-profit and government agencies.

Program evaluation studies use a variety of social science research instruments: surveys, questionnaires, opinion polls, input-output tables, planned versus actual analysis, and many others. The final evaluation report usually is a modified version of the following format:

- Title Page
- Evaluation Abstract
- Introduction
- Organizational Goals
- Evaluation Goals
- Evaluation Process and Instruments
- Evaluation Findings and Results
- Evaluation Conclusions
- Evaluation Recommendations

Title Page

This section of the evaluation report should be one page long identifying what program was evaluated and by what evaluator or firm.

Evaluation Abstract

This section of the evaluation report should be short and highlight the important features of the evaluation study. Quite often, busy executives will only read this section of the report to get the gist of the evaluation findings. Therefore, the Abstract should be a summary representation of the total report.

Introduction

This section should be no more than two pages long describing the organization that is being evaluated and how the evaluator was chosen. Brief information should be provided on who funds the organization and how the project being evaluated is related to the total program thrust.

Organizational Goals

Provide in detail the specific organizational goals and objectives as outlined in the original funding application or proposal. These are the "benchmarks" against which program results are measured. When organizational goals and objectives are vague, the evaluator has to be innovative and develop research approaches to "test" the effectiveness of the program results.

Evaluation Goals

The evaluation goals should be direct and to the point. They should specify the type of evaluation and processes used. For instance, the evaluation goals should indicate whether it is goal attainment or process oriented. It does make a difference. The goal attainment evaluation deals with the output of the program while the process evaluation is concerned with internal administration, methods, procedures, and management style. In many cases, both approaches are taken coupled with financial audits. This is a more comprehensive approach.

Evaluation Process and Instruments

This section of the evaluation report deals with how the evaluation will be conducted and what social science instrument will be used, i.e., questionnaires, reports, case study, etc. The evaluation process and instruments used will influence the type data collected and, consequently, have an impact on the evaluation results. Much care should be given to the program evaluation process and instruments. The instruments should be pre-tested before actual usage.

Evaluation Findings and Results

In this section of the evaluation study, the findings and results of the evaluation process are presented in summary form. This is usually statistical in nature and not conclusive. The program evaluator should use tables, forms, charts, and other statistical

display techniques. The findings and results should be objective and professionally displayed. Sources of data should be documented.

Evaluation Conclusions

Based on the findings and results section, "reasonable" and "objective" conclusions should be drawn from the data. In this section, data is converted to information which will have influence on persons reading the evaluation report. The conclusion should be clear, straight forward and to the point. Careful use should be made of adjectives and adverbs. They influence readers opinions.

Evaluation Recommendations

In this section of the evaluation report, the evaluator's recommendations are listed. They should be concise and understandable. If evidence is available that program goals were not attained and/or program policies or procedures were not adequate or did not pass the test of standard operating procedures, then corrective action plans should be suggested. Value judgments should be minimized.

Program management will usually take the evaluation recommendations seriously and proceed to establish corrective action plans that identify target objectives, activities, and responsible persons for correcting the problems identified. Independent program evaluators should be professional and agree, before the evaluation process begins, on certain evaluation procedures with the management of the organization being evaluated.

Some foundations and several federal agencies commission program evaluations for programs they support. When this happens, the evaluation study team should notify the grantee in writing that an evaluation is scheduled and provide some indication on the direction the evaluation study will take. During the initial meeting between the evaluation team and program

management, the evaluation team should discuss in detail the kinds of records that will be needed, the approximate time involved, and who will speak for the evaluation team. Program management should designate an individual to be liaison to the evaluation team and receive their request for information, reports, employee interviews, and records. Ample work space should be made available to the evaluation team.

When the evaluation report is in draft form, it should be presented to program management for review and comment. Program management should prepare a written response to become a part of the official evaluation report.

Program evaluations are not all negative. They can be used as "early warning systems" to take corrective steps to strengthen program design, procedures, and impact.

Program evaluation results that are positive should be communicated to the public. This will enhance the public image of the program. Appendix J provides tips for communicating through the media for good public relations.

RECOMMENDED READINGS

Carol Weiss, *Evaluating Action Programs*. Allyn-Bacon, New York, New York, 1972.

The Grantsmanship Center, "Evaluation," 1031 South Grand Avenue, Los Angeles, California 90015.

Theodore M. Lawe, "Evaluating Urban Action Programs" in *New Detroit Now*, January 1974. MRDC Educational Institute, P. O. Box 15127, Dallas, Texas 75201.

Theodore M. Lawe, *An Evaluation: University of Detroit Minority Training Programs*, August, 1972. MRDC Educational Institute, P. O. Box 15127, Dallas, Texas 75201.

Chapter 9

Sample Request For Proposal

Request for Proposals (RFP's) are increasingly being used by federal, state, and local governments to secure contractors to conduct general and applied research projects. More recently, the Comprehensive Employment and Training Program (CETA) Administration has started encouraging their Prime Sponsors to use the RFP method to create competition for manpower dollars. Manpower training programs, particularly proprietary and

private trade schools, are unfamiliar with developing proposals in response to RFP's; therefore, they are proving less successful in getting manpower training contracts and grants. As discussed in Chapter 7 on Contract Research, there are some "rules of thumb" to follow in responding to RFP's. The sample RFP that follows was developed by the author when he served as Director of the City of Dallas Office of Human Development. The RFP was intended to solicit proposals for the conduct of a "Study on Child Care and Child Development." Over five private and non-profit companies and organizations responded. After an extensive review, the contract for \$25,000 was awarded to the firm of Marshall Kaplan, Gans, and Kahn. A study was completed along the lines of the RFP. The study resulted in the City of Dallas City Council establishing a policy position for the support of child care programs.

This RFP is offered for educational purposes to help improve your organization's chances of writing winning proposals.

Request for Proposal No. OHD-4-18-75

Contractors:

Subject: Implementation of Study on Child Care and Child Development

You are invited to submit a proposal to be received not later than 2:00 p.m. CDST, June 1, 1975, to the Office of Human Development, City of Dallas, in accordance with this Request for Proposal and the following attachments which are incorporated herein and made a part hereof:

- Section A: Proposal Instructions and Conditions
- Section B: Factors to be Considered in Awarding a Contract
- Section C: Statement of Work
- Section D: Special Provisions
- Section E: Budget Format
- Section F: Certifications and Representations

All work called for under any contract resulting from this Request for Proposal shall be completed not later than ninety (90) days after the effective date of the contract.

It is anticipated that a firm fixed price contract will result from this Request for Proposal. The contract will be awarded to the responsible offerer whose proposal is fully responsive to the requirements of this request, is within a competitive range, and is determined to be technically superior and to the best advantage of the City of Dallas, price and other factors considered. The City of Dallas considers an effort in the range of \$20,000 to \$25,000 to be appropriate for the performance of all Tasks under Attachment C, Statement of Work. However, offerers are requested to submit prices which they consider to be realistic for the approach they propose.

Inquiries regarding this Request for Proposal should be directed to:

Theodore M. Lawe
Assistant to the City Manager/
Director of Office of Human Development
City of Dallas
214/748-9711, Ext. 1434

To prevent opening by unauthorized individuals, your proposal should be identified on the envelope, or other wrapper, as follows:

PROPOSAL, submitted in response to RFP #OHD-4-18-75

Section A: Proposal Instructions And Conditions

I. Limitation

This Request for Proposal does not commit the City of Dallas to award a contract, to pay any costs incurred in the preparation of a proposal to this request, or to procure or contract for services or supplies. The City of Dallas reserves the right to accept, or reject, any or all proposals received as a result of this request, to negotiate with any qualified source, or to cancel in part or in its entirety, this Request for Proposal.

II. Proposal Content

The proposal should include an organizational chart for the project, showing the name of the project manager and the names of key personnel. A brief resume should be

included for each person shown on the special qualifications applicable to the performance of the project.

The proposal should also include a list of projects currently in progress or completed within the last two (2) years which are relevant to the type of project effort proposed, including names and addresses of previous clients.

III. Specific Discriminatory Actions Prohibited

Submission of a proposal will be construed as an agreement by the offerer to the extent that the offerer will, or does not, utilize criteria or methods of administration which have the effect of subjecting individuals to discrimination on the basis of race, creed, color, sex, or national origin.

IV. Responsible Prospective Contractors

Contracts will be awarded only to responsible prospective contractors. In order to qualify as responsible, a prospective contractor must meet the following standards as they relate to this Request for Proposal:

- A. Have adequate financial resources for performance, or have the ability to obtain such resources as required during performance.
- B. Have the necessary experience, organization, technical qualifications, skills, and facilities, or have the ability to obtain them (including probable subcontractor arrangements.)
- C. Be able to comply with the proposed or required time of delivery or performance schedule.
- D. Have a satisfactory record of performance.
- E. Be able to comply with the requirements of the Equal Opportunity Clause.
- F. Be otherwise qualified and eligible to receive an award under applicable laws and regulations.

V. Contract Award

- A. The City may award a contract, based on offers received, without discussion of such offers. Accordingly, each offer should be submitted on the most favorable terms from a price and technical standpoint, which the offerer can submit to the City. However, the City

reserves the right to request additional data, or oral discussion or presentation, in support of written proposals.

- B. Any contract awarded as a result of the Request for Proposal will be subject to the special provisions made a part of this Request for Proposal.

VI. Receipt of Proposals and/or Modifications

- A. Proposals and modifications thereof must be received at the office designated, on or before the exact hour and date specified for receipt of proposals in order to be considered.
- B. Offers using mail service are cautioned to send all proposals by registered or certified mail, and to retain evidence of same in order to prove that a late proposal or modification was timely mailed. If any such receipt does not reflect the date, then the proposal or modification received after the established deadline shall not be considered.

Section B: Factors To Be Considered In Awarding A Contract

I. Professional Personnel

Technical qualifications of professional personnel who will be assigned to this project should demonstrate proficiencies in the following areas:

- A. Planning and organizing comprehensive child care programs.
- B. Knowledge of the current child development system, including the major actors and planning, funding, and implementation processes.
- C. Evaluation of social service delivery systems.
- D. Knowledge of current and proposed legislation relating to child development.

II. Concept of Project

- A. Understanding the concept and complexity of the problems to be studied is critical. Proposals are expected to reflect originality and a disciplined approach to the project.

- B. The approach to the project must be sound; the proposed tasks and their sequence should demonstrate an effective management plan for implementing the project.

III. Organization - Qualification - Cost

- A. Company (organization) and qualifications should demonstrate the adequacy of the current full-time professional staff to perform the work. Subcontracting any portion of the work is discouraged.
- B. The overall cost of the suggested approach must be reasonable; within the limit of funds authorized for the project and reflective of the work proposed.

Section C: Statement of Work

I. General Background

The City of Dallas has officially recognized the need for a comprehensive child care policy for the City. This has been recently expressed in the authorization of funds for three inter-related projects:

- A. A study of child care needs to develop public policy and a plan of action to meet service needs. (The subject of the R.F.P.). Up to twenty-five thousand dollars (\$25,000.00) is authorized for this study.
 - B. A demonstration in comprehensive day care within a specific target area neighborhood. This project authorized fifty thousand dollars (\$50,000.00) annually, for three (3) years, to be used as local matching funds to secure Title IV-A funds from the Social Security Act.
 - C. A reserve fund for the implementation of a comprehensive child care plan. This fund would provide one hundred seventy-five thousand dollars (\$175,000.00) allocated by the City annually, for three (3) years, to be used as local monies as in the second project.
- These authorizations complement past City actions which have funded child care programs at the Martin Luther King (multi-service) Center and programs cur-

rently supported by the City's Human Development Fund.

The three authorizations listed above will provide the opportunity for the City to establish a consistent policy and plan for further programming in the area of child development, and they will provide funds for the first steps in implementing that plan.

The questions that now face the City are the following:

1. What role can the City of Dallas play in child care that will complement those of existing funding and implementing organizations?
2. How can the City of Dallas maximize the impact of the necessarily limited funds which it can make available for local child care activities?
3. What are the long-range City budget implications or possible roles for the City of Dallas?
4. How can the future comprehensive child care activities of the City be made consistent with other programs implemented by the City?
5. How will the City's role in child development complement the City's goals and objectives as they relate to Community Development activities?

II. General Approach

The City of Dallas proposes to address itself to these questions through the formulation of an adopted child development policy and plan of action. This Request for Proposal is for the implementation of the first (of the three projects listed previously) project, a policy plan which formulates alternative policies and action strategies which might be followed by the City.

III. Assumptions

It is assumed that the contractor will look broadly at the development needs of children when establishing needs, issues and roles as they apply to the policy plan for comprehensive child care and specific program options. It is also assumed that the contractor will develop roles and program options for the City that will aid in meeting

community development objectives which address the needs of low and moderate income families. (A map is attached that delineates areas within the City where such families are concentrated.)

Numerous studies have been completed within the State and local community which identify (from different perspectives), child development and child care needs and issues. It is assumed that this project will not require the collection of primary data concerning "needs" and service "gaps" in the areas of child development. (A partial list of available studies is included as an attachment).

IV. Factors Affecting Work

Work done on this project should focus most of the effort on the development of policy and plans. These should be formulated as options and alternatives which give the City a range of realistic choices of policy and program direction.

It is also required that the project clarify the impact of each option on the City, its operations, and other major organizations that are affected.

The City of Dallas believes that it is only through a process of open evaluation of realistic options, that it can adopt policies and plans. The proposal must demonstrate the capacity to develop such options and make explicit their impact and thereby contribute to the City's policy-making process.

V. Specific Work Statement

A. Review and evaluate existing studies of child development needs, service gaps, and issues. The purpose of this work element is to formulate:

- 1) An authoritative "needs statement" with necessary supportive data from which plans can be developed; and
- 2) An "issues statement" as a basis for developing alternative roles for the City.

These summaries should be concerned at a minimum with possible failures of the current system to:

- 1) Meet major child development objectives;

- 2) Serve all geographical areas where demands exist based on census tract data in every case possible; and
 - 3) Serve special client groups.
- B. *Identify Existing Child Care Planning/Implementing System.* This element should identify the current roles of major funding, planning, and implementing organizations within the child development system (to include both the private and public sector) and roles within the current system that might be better filled by the City.
- 1) Each major funding, planning or implementing organization should be identified and their resources, activities, and services described; and
 - 2) Major problems in the level of funds, fund utilization, planning, or service delivery should be identified.
- C. *Develop Alternative Roles for the City Within the Local Child Care System.* Several roles should be developed based on the "issues statement" and the analysis of the existing child care system. In addition, the following should be considered:
- 1) Roles implicit with current and proposed child development legislation.
 - 2) Roles that develop from current city activities and programs:
 - a) Funds authorized for child development activities;
 - b) Current City programs such as recreation, community development and manpower programs; and
 - c) Regulatory activities.
- Identified roles should be presented as a hierarchy, outlining different levels of possible City of Dallas involvement in comprehensive child care. The range of involvement examined *might* begin with improvements in current activities (such as zoning and inspection) and end with efforts to expand

services (such as providing chits in building and operating centers).

Alternative roles should be explicitly formulated for the City, identifying their activities and relation to other major organizations in the child development field. They should also identify the City's position in funding, and implementing activities. An impact statement for each alternate role should include, at minimum, a description of its impact on the following:

- a) Future budgetary requirements of the City;
- b) Increased legal responsibilities of the City;
- c) Efforts to maximize the impact of currently authorized funds for child development;
- d) Increasing the effectiveness of existing programs, particularly community development activities directed at the needs of the low and moderate income families;
- e) Improving the local child development systems for funding, planning, and implementing programs.

D. *Outline Options for the "Demonstration" and "Reserve Fund" Authorizations.* Alternate policies for the use of the "reserve fund" should be formulated and alternative program outlines should be formulated for the "demonstration" in comprehensive child care.

Policies and program outlines should include at least the following:

- a) Problem or need to be addressed;
- b) Program objectives;
- c) Client groups to be served;
- d) Project structure;
- e) Evaluation component including performance criteria
- f) Implementation roles of the City and other organizations;
- g) Expected impact (particular reference should be made to meeting the neighborhood im-

provement goals of the City's community development program).

V. Reports

A. The contractor shall build into his project three to five interim progress reports to include information on:

- a) Performance compared to schedule;
- b) Problems being encountered in project completion and plans for overcoming them; and
- c) Results of tasks as they are completed.

Interim reports should come at logical breaks in the work process to make reports on the results of tasks more meaningful.

B. Upon completion of the project, the contractor shall supply the City of Dallas ten (10) copies of the final report and be prepared to brief City officials on the results of the study.

Section D: Special Provisions

I. Conduct of Work

The Office of Human Development of the City of Dallas is hereby designated as the Project Liaison Office for purposes of this contract. Contractor shall deal directly with Project Liaison Office in all matters requiring contact with, or guidance from, the City and shall comply with all written requests or directives from said Office.

II. Contract Period

The Contractor shall complete all work hereunder, including delivery of the final report, within ninety (90) days after the effective date of the contract.

III. Financial Reports

The Contractor will submit a financial report every thirty (30) days to the Office of Human Development covering contractor's effort and those of the subcontractors separately beginning thirty (30) days after work is begun and/or contract is effective. This report shall include the following information:

A. Man-hours expended by professional and non-profes-

sional categories during the report period, broken down as to performance to the extent possible.

B. Funds expended at the end of the report period.

C. Estimated financial commitments, if any (e.g., outstanding sub-contract agreements).

IV. Maximum Contract Cost

Cost for the performance of this contract shall not exceed twenty-five thousand dollars (\$25,000.00). Invoice or voucher shall be submitted in original and one (1) copy to the following address:

City of Dallas
Office of Human Development
Municipal Building - Room 211
Dallas, Texas 75201

V. Inspection And Acceptance

Final inspection and acceptance of all work required under this contract is subject to final approval by the City Council of the City of Dallas

Section E: Budget Format

I. Direct Labor (Specify) _____

II. Overhead _____

III. Direct Material _____

IV. Special Equipment _____

V. Travel

A. Transportation _____

B. Non-Local _____

VI. Subcontractor Costs _____

_____VII. Other Costs _____

Total Budget Estimate _____

Section F: Certifications And Representations

1. Type of Business Organization (Check appropriate box.)
Offerer represents that he operates as an () individual,
() partnership, () non-profit organization, () a corporation under the laws of the State of _____.
2. *Certification of Independent Price Determination*
 - A. By submission of this proposal, each offerer certifies, and in the case of a joint proposal each party thereto certifies as to its own organization, that in connection with this proposal:
 - (1) The prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other offerer or with any competitor.
 - (2) Unless otherwise required by law, the prices which have been quoted in this proposal have not and will not knowingly be disclosed by the offerer prior to award directly or indirectly to any other offerer or to any competitor; and

- (3) No attempt has been made or will be made by the offerer to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
 - B. Each person signing this proposal certifies that he is the person in the offerer's organization responsible within that organization for the decision as to the prices being offered herein and that he has not participated, and will not participate, in any other action contrary to (A) (1) through (A) (3) above.
3. *Equal Employment Opportunity*

The Offerer must demonstrate that he or she is an equal opportunity employer and, in the event the Offerer is awarded a contract, he or she agrees to abide by Chapter 15B of the Dallas City Code as it relates to the contract that will be entered as a result of this RFP.

The city manager or his designee shall be responsible for the administration and the enforcement of the equal employment opportunity clause, which will be made a part of the actual contract.

4. *Affirmative Action Compliance Program Representation*
- A. The Contractor, his subcontractor(s) and their subcontractor(s) performing work under any contract resulting from this solicitation is required to have a written affirmative action compliance program for each of its establishments. This requirement is applicable to each prime contractor who has 25 or more employees and a contract of \$25,000 or more.
 - B. The required affirmative action compliance program shall provide in detail for specific steps to guarantee equal opportunity employment keyed to the problems and needs of members of minority groups.
 - C. The affirmative action compliance program must provide for the evaluation of utilization of minority group personnel, which shall include the following:
 - (1) An analysis of minority group representation in all job categories;

- (2) An analysis of hiring practices for the past year, including recruitment sources and testing, to determine whether equal employment is being afforded in all job areas; and
- (3) An analysis of upgrading, transfer, and promotion for the past year to determine whether equal employment opportunity is being afforded.

RECOMMENDED READINGS

Federal Notes. University of Southern California, Bovard Administration, University Park, Los Angeles, California 90007.

Education Funding News. Education Funding Research Council, 752 National Press Building, Washington, D.C. 20045.

Chapter 10

Sample Proposal

There is no right way to prepare a funding proposal. The following proposal is simply offered as an example of an approach to structure a proposal. The enclosed proposal is a request to the U.S. Department of Education for a demonstration grant to organize the Institute for Positive Discipline. The essence of the proposal is to provide teachers and school administrators training in non-corporal punishment techniques. The proposal incorporates many of the elements for developing pro-

posals as outlined in Chapter Four. More specifically, the proposal has a title page, table of contents, introductory statement, problem statement, establishes goals and quantifiable objectives, outlines strategies and methodologies, and a management plan. The budget to the proposal provides an explanation to budget items and provides for the sources of revenue and their application. Program income is to be used for program expansion.

**PROPOSAL TO ESTABLISH THE
INSTITUTE
FOR POSITIVE DISCIPLINE**

By
Sherwin Allen, Ed. D.

Submitted to
U.S. Department of Education

(Submitted as a Demonstration Program for the
Development of Positive Approaches to Discipline)

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- B. Resume of Dr. Sherwin Allen
- C. Daily Assignments for On-Site Seminars
- D. PAD Model Design
- E. Bibliography

Introductory Statement

This proposal sets forth, in writing, the goals, objectives, strategies, methodologies, management procedures, and budgets for establishing the Institute for Positive Discipline (IPD).

The Institute for Positive Discipline will be established under the direction of Dr. Sherwin Allen, an educator, administrator, and innovator in the positive approach to modifying delinquent behavior.

The Institute for Positive Discipline will use original techniques that have been field-tested and have received broad praise from various sections of the country through the seminars that Dr. Allen has sponsored. A typical response from a school administrator and seminar participant was:

"Dr. Allen's 13 Step Positive Approach to Discipline System has proven to have a positive impact on discipline referrals and suspensions in my school."

The following proposal is organized into five sections for clarity of design: *Problem Identification Statement*. This section of the proposal outlines in detail the delinquency problems in schools that the Institute for Positive Discipline addresses. The lack of discipline has been identified as the number one problem inhibiting the learning process in schools and subsequently causing disruptions in a child's learning cycle and career in school.

Goals and Objectives Standards. This section of the proposal establishes measurable goals and objectives to rectify the behavioral problems identified in Section I. The vehicle for addressing the problem areas is the Institute for Positive Discipline through its training of teachers, administrators, counselors, and parents.

Strategies and Methodological Approaches. This section of the proposal will set forth the procedures for establishing the Institute for Positive Discipline and how it will be organized to conduct the learning seminars and certification of teachers, administrators, counselors, and parents in the Methods of the Positive Approach to Discipline System.

Budget and Control Procedures. This section of the proposal will establish financial needs and resource application. The overall intent is to establish the Institute for Positive Discipline with grant funds and eventually have the program sustained by program income.

The *Appendix* Section of the proposal contains testimonial letters of support and other related documentations. More spe-

cifically, the Appendix Section of the proposal contains a resume for the principal person to be involved in the management of the program and other background information that relates to the research on the subject.

In addition, an extensive bibliography has been developed that surveys the current literature on the subject. The intent of the literature review is to demonstrate competence in the program as outlined in this proposal.

The Institute for Positive Discipline is a non-profit organization chartered under Texas State Laws (See Appendix A: Incorporation Papers).

Section I

Problem Identification Statement

The lack of proper discipline in the schools has been identified as the primary problem facing the learning process. Recent Gallop Poll studies on problems in the educational setting have listed the lack of discipline as the primary problem eight out of

nine times in the last nine years. The problem is compounded by the lack of understanding of the problem and a unified approach for dealing with problem resolution. A *Dallas Morning News* editorial pointed out that many authorities have associated decreasing scholastic achievement with a lack of discipline. The time has come for students, teachers, parents, and administrators to join hands in understanding their role in resolving discipline-related problems. Some of the more identifiable behavior/discipline problem areas that need immediate attention are:

- Corporal punishment is no longer an adequate means of dealing with the lack of discipline. Corporal punishment hinders learning because its by-products of fear and punishment make the classroom atmosphere non-conducive to the learning process. Positive alternatives need to be developed.
- The lack of proper discipline results in frustrating the educational process through developing antagonizing relations between student-teacher/student-administrator/parent-teacher and other combinational arrangements.
- The lack of discipline short-circuits the learning process for other students in the class and the school, thus causing a community problem.
- The lack of discipline causes a low faculty morale and retards teacher professional growth. The lack of discipline is a contributing cause to the "state of fear" teachers and administrators now speak of through their national organizations.
- The lack of discipline causes high rates of suspensions for students. This only causes the student to fall further behind and frustrates the student's learning process and appreciation for the school and educators. The question is raised "What do students do while they are suspended?"
- The lack of discipline leads to fights and other kinds of violent behavior. Schools with high incidences of violence

- usually have high rates of delinquent students suffering from the lack of discipline.
- The lack of discipline leads to increases in vandalism in secondary schools.
- A 1978 survey of the Dallas Independent School District conducted by Grove and Associates ranked discipline as one of the primary problem areas. Discipline was cited by 30% of the general public and 27% of the DISD parents.

Overall, the lack of discipline affects the quality of educational leadership. Thus, the entire community is adversely affected. Therefore, the responsibility for solving the discipline problem is everybody's business. Dr. Allen's model, through the Institute for Positive Discipline, provides for total community involvement with the assignment of specific responsibilities to each of the primary participants — students/teachers/administrators/parents/community.

Appendix B contains a personal resume on Dr. Sherwin Allen, the founder of the Institute for Positive Discipline.

Section II

Goals And Objective Standards

Study after study has shown that the negative approaches to discipline do not work and they are not consistent with developing the educational environment as a positive place to facilitate learning and motivate the student to achieve to his/her maximum potential.

The National Education Association, in several of its studies, has recommended that educators and educational policymakers adopt procedures for dealing with student disciplinary problems in a positive way that supports the educational environment. The goals/objectives/approaches/methodologies/standards that govern the Institute for Positive Discipline are supportive for the "Positive Approach" to discipline. Among the primary goals and objectives of the Institute for Positive Discipline are:

Goal/Objective 1

Recognition that corporal punishment has no place in a constructive learning environment. Equip teachers with other skills to utilize in classroom setting in lieu of corporal punishment and other punitive forms of correcting behavior.

Goal/Objective 2

Train and certify 200 teachers, administrators, counselors, and parents in the methods and techniques of the positive approach to discipline system.

Goal/Objective 3

Through the training of school personnel to reduce the number of suspensions in junior and senior high schools by at least ten percent.

Goal/Objective 4

Through the training of school personnel — in the affected schools — to reduce the number of fights and other acts of violence by eight percent in elementary schools.

Goal/Objective 5

Through the training of school personnel — in the affected schools — to reduce the level of vandalism in secondary schools.

Goal/Objective 6

Through training of school personnel — in the affected schools — to increase the level of self discipline in building more self-respect and placing the discipline responsibility where it belongs.

Goal/Objective 7

Develop with school personnel the strategy approaches to building a classroom communications system as a means of positive discipline.

Goal/Objective 8

Develop with school personnel approaches to developing a climate for discipline in elementary, junior, and senior high schools.

Goal/Objective 9

Develop with school personnel a systems approach for involving the student/teacher/counselor/administrator/parent/community into the positive discipline approach. Each will be assigned a specific responsibility for accomplishing a sub-task of the total system.

Goal/Objective 10

Work with teachers, administrators, and educational policy makers in achieving academic excellence through educational leadership.

The aforementioned ten goals and objectives will be achieved through seminars, conferences, and direct assistance to schools and school districts. In achieving the measurable goals and objectives, program instructors, coordinators, and consultants will use various methods - lecture, question-answer, discussion, case study method, role playing, and assimilation games.

The overall goal/objective is to develop competent school personnel that can deal with developing positive approaches to discipline that will assist the educational process and aid the student in realizing his/her full potential.

Section III

Strategies/ Approaches/ Methodologies

The Positive Approach to Discipline System is an educational innovation that is supplemental to the established educational process. The Institute concentrates and specializes in the development of models and approaches for the implementation of positive approaches to discipline.

The positive approach to discipline outlined in this program effort was developed by Dr. Sherwin Allen as a result of many years of research and the study of other scholars' approaches to the same subject. The Institute for Positive Discipline is the vehicle for structuring and administering the curriculum design for the positive approach to discipline system. (See Appendix D: PAD Model Design).

The Institute for Positive Discipline has an 18-part strategy that will be implemented in four phases:

Phase 1: Funding and Organization of the Institute for Positive Discipline

Task 1: Develop funding proposal that incorporates ideas and concepts of the positive approach to discipline design.

Task 1.1: Submit proposal for funding.

Task 1.2: Secure funding and negotiate reporting arrangements.

Task 1.3: Develop standard operating procedures manual.

Task 2: Locate office facilities and secure equipment.

Task 2.1: Develop detailed procedures for program operations and controls.

Phase 2: Staff Training and Development for Institute Staff and Consultants

Task 3: Develop curriculum and train staff consultants and other personnel.

Task 3.1: Train staff consultants to conduct seminars and technical assistance conferences.

Task 3.2: Train office staff to give telephone assistance and office-based assistance to Institute clients.

Task 4: Schedule Consultants and Assign Staff to Specific Responsibilities.

Phase 3: Conduct Seminars on the Positive Approach to Discipline System

Task 5: Conduct first session of first seminar in Dallas, Texas. (1 week)

Task 6: Conduct field-work sessions via mail and telephone. (2-½ months)

Task 7: Conduct second session of first seminar in Dallas, Texas. (1 week)

Task 8: Conduct field-work sessions via mail and telephone. (2-½ months)

Task 9: Conduct third and final session of first seminar in Dallas, Texas. (1 week)

Task 10: Conduct independent and perceptions evaluations of Phase 3 of program.

Task 11: Revise program approaches and content based on objective evaluations.

Phase 4: Implement the Second Session of Seminar Training

Task 12: Field test the revised seminars curriculum

Task 13: Conduct first session of the second seminar. (1 week)

Task 14: Conduct field-work sessions via mail and telephone. (2-½ months)

Task 15: Conduct second session of the second seminar. (1 week)

Task 16: Conduct field-work sessions via mail and telephone. (2-½ months)

Task 17: Conduct third and final sessions of the second seminar. (1 week)

Task 17.1: Present certification papers for successful completion of curriculum.

Task 18: Conduct independent and perceptions evaluation of seminars.

TASK/TIME SCHEDULE Institute for Positive Discipline

ACTIVITY

Phase 1: Funding/Org.

Task 1.0

Task 2.0

Phase 2: Staff Development

Task 3.0

Task 4.0

Phase 3: Conduct Seminars

Task 5.0

Task 6.0

Task 7.0

Task 8.0

Task 9.0

Task 10.0

Task 11.0

Phase 4: Second Seminar

Task 12.0

Task 13.0

Task 14.0

Task 15.0

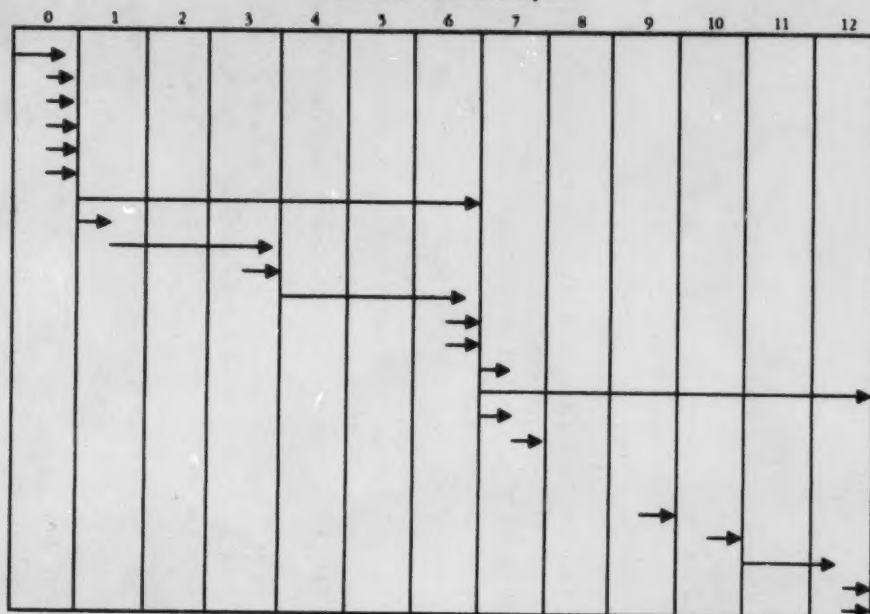
Task 16.0

Task 17.0

Task 18.0

Task 19.0

Task 20.0



Sample Proposal

Task 18.1: Incorporate evaluation data
into organized curriculum.

Both seminar sessions will be held for one week at a time. The seminar participant will spend three weeks in classroom sessions and approximately four months in field work. During the field-work sessions, the participants will be required to follow prescribed procedures in handling discipline problems and report the results on a pre-arranged basis. Participant classrooms will be treated as individual labs. All work sent via mail to Dallas will be critiqued with comments and returned to the participant.

Specific detail curriculum plans will be developed for each day of sessions held in Dallas. Generally, seminar sessions will be held Monday through Friday from 9 a.m. to 4 p.m. Assignments will be made for the following day. Seminar participants will be given time for individualized consultation. A combination of lectures/discussions/role playing methods will be used. The following Task/Time Schedule provides a visual overview.

Appendix C: Daily assignments for on-site seminars outlines the flow of activities seminar participants will be involved in for each of the three weeks that they are together.

Section IV

Management/ Administration Strategies

The general management for the Institute for Positive Discipline will be the responsibility of a seven person board of directors. The day-to-day administration will be handled by Dr. Sherwin Allen, the creator of the Institute for Positive Discipline.

A program coordinator will be employed to act as general manager and dean for the Institute for Positive Discipline. The responsibility of this position will be to constantly revise the curriculum and coordinate the work of the independent evaluation consultants.

The mid-level management team-professionals will have ten full-time consultant-trainers to assist in the conduct of the on-site seminars and act as counselors during field assignments. Each consultant-trainer will have a group of ten participants.

The specific responsibility of the management team is to:

- Act as the responsible agent to give direction to the management of the program
- Be responsible for program planning, goal and objective development, strategy planning, budget formation, and resource applications.
- The assignment of staff and the evaluation of staff performance.
- The establishment of minimum standards for program participants.
- The systematic reporting on program progress and corrective action taken.
- The development of future funding sources after the grant program/funds are expended.
- The management team will be responsible for traditional management tasks.

Evaluation Procedures

Program effectiveness will be subjected to a three-way evaluation system involving staff, program participants and independent consultants:

- Staff will conduct on-going monitoring and evaluation studies to test program concepts, objectives, strategies, and management procedures.
- Program participants will be asked to provide objective feedback on all aspects of the program ranging from man-

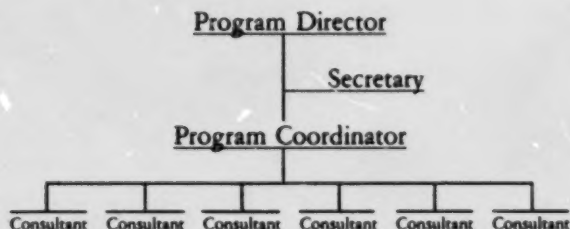
agement to results. These data will be included in the overall evaluation report findings and recommendations.

- Independent consultants will conduct on-going, interim, and post-evaluation studies.

All evaluation results will be written in report form and given broad distribution. Corrective action will be taken when necessary.

INSTITUTE FOR POSITIVE DISCIPLINE

ORGANIZATION CHART



**SECTION V: PROGRAM BUDGET
INSTITUTE FOR POSITIVE DISCIPLINE**

ITEMS	RESPONSIBILITY/EXPLANATION	SOURCE OF FUNDS		
		PROGRAM INCOME	GRANT	COST
PERSONNEL				
Program Director	- General management responsibility	\$15,000	\$20,000	\$35,000
Program Coordinator	- Staff coordination/in house evaluation	5,000	25,000	30,000
Research Assistant	- Program development responsibilities		15,000	15,000
Consultants (10)	- Training and counseling program clients		180,000	180,000
Secretary (2)	- Typing/filing/telephone		18,000	18,000
FRINGE BENEFITS				
Standard Benefit Package for Non-Profit Organization (15% of direct labor cost)	- \$278,000 direct labor cost		36,140	36,140
FACILITIES AND EQUIPMENT				
Rent	- \$800/Mo. X 12 Mos.		9,600	9,600
Office Furniture	- Rental fee/Mo. \$500.00		7,200	7,200
Telephone	- \$500/Mo. X 12 Mos.		6,200	6,200
Supplies	- \$350/Mo. X 12 Mos.	4,200		4,200
Equipment	- Rental fee/Mo. \$400.00	2,400	2,400	4,800

ITEM	RESPONSIBILITY/EXPLANATION	SOURCE OF FUNDS		
		PROGRAM INCOME	GRANT	COST
CONTINGENCY FUND	- Reserve for program operations for second year	100,000		100,000
UTILITIES AND INSURANCE				
Fire/Accident Insurance	\$100/Mo.	1,200		1,200
CONFERENCE AND TRAVEL				
Out-of-town conferences and travel	- 15 trips X \$500 trip		7,500	7,500
Visits to sites to supervise Program Participants	- Site visits/participant		60,000	60,000
Local Travel	- \$250 air travel plus \$50 per diem - 20¢/Mi. X 5,000 Mi.	4,000		4,000
INDIRECT COST	- 20% of direct labor - Cost not included in other budget items		55,600	55,600
INDEPENDENT CONSULTANTS				
Independent Evaluation Studies	- 10 specific evaluation studies on various aspects of program. \$3,000/study	<u>18,200</u>	<u>11,800</u>	<u>30,000</u>
GRAND TOTAL		<u>\$150,000</u>	<u>\$454,440</u>	<u>\$604,440</u>

Appendix

- A. Incorporation Papers
- B. Resume of Dr. Sherwin Allen
- C. Daily Assignments for On-Site Seminars
- D. PAD Model Design
- E. Bibliography

Appendix A

APPENDIX A

(Filed with Texas Secretary of State in August, 1979. Currently awaiting approval.)

ARTICLES OF INCORPORATION OF

THE INSTITUTE FOR POSITIVE DISCIPLINE, INC.

We the undersigned natural persons of the age of eighteen (18) years or more, at least two (2) of whom are citizens of the State of Texas, acting as incorporators of a corporation under the Texas Non-Profit Corporation Act, do hereby adopt the following Articles of Incorporation for such corporation:

ARTICLE ONE

The name of the corporation is The Institute For Positive Discipline, Inc.

ARTICLE TWO

The corporation is a non-profit corporation.

ARTICLE THREE

The period of its duration is perpetual.

ARTICLE FOUR

The purposes for which the corporation is organized is to train and educate administrative counselors, students and any and all persons, including management people and parents and to set up programs for effective classroom management.

Notwithstanding any of the above statement of purposes and powers, this corporation shall not, except to an insubstantial degree, engage in any activities or exercise any powers that are not in furtherance of the primary purpose of this corporation.

This corporation is organized pursuant to the Texas Non-Profit Corporation Act and does not contemplate pecuniary gain or profit to the members thereof and is organized for non-profit purposes.

ARTICLE FIVE

The street address of the initial registered office of the corporation is 5015 Menefee, Dallas, Texas, 75227, and the name of its initial registered agent at such address is Dr. Sherwin Allen.

ARTICLE SIX

The number of directors constituting the initial board of directors of the corporation is three and the names and addresses of the persons who are to serve as the initial directors are:

NAME	ADDRESS
Dr. Sherwin Allen	5015 Menefee, Dallas, Texas 75227
Jeanette Allen	5015 Menefee, Dallas, Texas 75227
Claudis Allen	4203 Opal, Dallas, Texas 75216

ARTICLE SEVEN

The name and street address of each incorporator is:

Dr. Sherwin Allen	5015 Menefee, Dallas, Texas 75227
Rae Coleman	12900 Preston Rd., Dallas, Texas 75230
Paul F. Carnes	12900 Preston Rd., Dallas, Texas 75230

IN WITNESS WHEREOF, we have hereunto set our hands,
this _____ day of _____, 1979.

STATE OF TEXAS
COUNTY OF DALLAS

§
§

I, the undersigned, a notary public, do hereby certify that on this _____ day of _____, 1979, personally appeared before me Dr. Sherwin Allen, Rae Coleman and Paul F. Carnes, who, each being by me duly sworn, severally declared that they are the persons who signed the foregoing document as incorporators, and that the statements therein contained are true.

IN WITNESS WHEREOF, I have hereunto set my hand and seal the day and year above written.

Notary Public in and for
Dallas County, Texas

My commission expires:

Appendix B

APPENDIX B
RESUME
Sherwin Allen

Sherwin Allen holds an Ed.D. in Educational Administration from the North Texas State University in Denton, Texas. Dr. Allen's professional specialties are: Educational Administration, Business Management, Staff Development and Inservice Education, and Classroom Management. Dr. Allen is certified in Reality Therapy.

Dr. Allen currently serves as Assistant Principal at Thomas Jefferson High School in Dallas, Texas. He has held other administrative positions which have included Band Director and Assistant Principal in Bay City, Texas. Dr. Allen has participated in an assortment of workshops, conferences, and associations. He has conducted seminars on creative approaches to discipline in Jackson, Mississippi, Gary, Indiana, Chicago, and Little Rock, Arkansas.

A sample of Dr. Allen's pertinent publications are:

"A Study to Determine the Effectiveness of a Positive Approach to Discipline System for Classroom Management." Dissertation, December 1978.

Articles

The "Positive Approach to Discipline" (PAD) System for Classroom Management. *The Texas Professional Educator*, November-December 1978. Part I

Effectiveness of the "Positive Approach to Discipline System in the Middle School." *American Middle School Education*, Spring 1978.

The "Positive Approach to Discipline" (PAD) System for Classroom Management Part II. *The Texas Professional Educator*, May-June, 1978.

The "Positive Approach to Discipline Center - In House Suspension." *The Texas Professional Educator*, July, August, 1978.

Appendix C

APPENDIX C

Week I
Schedule Outline

Monday

9-12 Introduction of PAD Model; Logistic;
 Question and Answer

12-1 Lunch

1-4 Small Group Discussion with Staff

Tuesday

9-12 Philosophy and Teacher Behaviors
 Lecture; Individual Evaluation

12-1 Lunch

1-2:30 Introduction of Counseling Model

2:30-4 Small Group Discussion with Staff

Wednesday

9-12 Steps 2-6
 Lecture; Program Evaluation

12-1 Lunch

1-2:30 Steps 7-12 Teacher Responsibilities

2:30-4 Small Group Discussions

Thursday

9-12 Problem Solving

12-1 Lunch

1-2:30 Steps 7-12

2:30-4 Small Group Discussion Roleplays

Friday

9-12 Large Group Discussion Evaluation

12-1 Lunch

Early Departure

APPENDIX C**Week II
Schedule Outline****Monday**

9-12

Logistics: Discussion of PAD Model

12-1

Lunch

1-2:30

Review of Related Research

Steps 2-6

2:30-4

Small Group Discussion

Tuesday

9-12

Review of Steps 7-13

12-1

Lunch

1-2:30

Review of Counseling Model

2:30-4

Small Group Session

Wednesday

9-10:30

PAD Center

10:30-12

Small Group Sessions

12-1

Lunch

1-3

Small Group Session

3-4

Evaluation

Thursday

9-10:30

Group Counseling

10:30-12

Small Group Sessions

12-1

Lunch

1-4

Small Group Sessions

Friday

9-12

Large Group Discussion Evaluation

12-1

Lunch

Early Departure

APPENDIX C

Week III
Certification Week

Monday

9-12	Logistics - Large Group Discussion
12-1	Lunch
1-2:30	Small Group Sessions
2:30-4	Evaluation Individual — Notebooks

Tuesday

9-10:30	Large Group Discussion
	Slide Presentation
10:30-12	Small Group Sessions
12-1	Lunch
1-2:30	Small Group Sessions
2:30-4	Resume Presentations

Wednesday

9-10:30	Large Group Discussion
10:30-12	Individual or Group Presentations
12-1	Lunch
1-2:30	Small Group Sessions
2:30-4	Resume Presentations

Thursday

9-10:30	Small Group Discussion
10:30-12	Evaluation — Notebooks
	Resume Presentations
12-1	Lunch
1-4	Small Group Sessions
	Resume Presentations
	Notebook Evaluations

Friday

9-10:30	Program Evaluation
	Individual or Group Presentations
10:30-12	Program Evaluation Certificates

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12-1

Lunch
Early Departure

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Appendix D

APPENDIX D

Positive Approach to Discipline Model

The Positive Approach to Discipline system is a thirteen-step discipline model. The model is divided into four components that lend themselves to functionally operating today's school. The components are (1) teacher responsibilities based on the counseling approach, (2) student responsibilities based on the counseling approach, (3) administrative responsibilities based on the counseling approach, and (4) parent/community responsibilities based on the counseling approach.

Step 1: Embrace the Philosophy

This is the first and most critical step in the model. The purpose of step one is twofold: (1) to change behavior of the staff; and (2) to make the staff aware of another way of functioning in the educational setting without punitive measures. The PAD system is a positive approach to people system. The principles, techniques, and concepts can be extended beyond discipline and classroom management.

Steps 2-6: Teacher Responsibilities

Steps two through six in the PAD model are classified as teacher responsibilities.

2. Establish Atmosphere
3. Rules/Standards - Establish/Post/Review
4. Teach Responsible Behavior - Curriculum/Counseling
5. Provide Opportunity for Success Each Day
6. Do Something that can be Interpreted as Friendly

It is contended that if teachers will do steps two through six daily, eighty to ninety percent of their students will behave appropriately in the classroom setting. For the ten percent that do not respond to the positive conditioning of these five steps, an in-depth counseling approach is suggested. A place within the classroom away from the other students is recommended. This is to give the teacher an opportunity to continue with the process of teaching the other students; also, this allows the disruptive student an opportunity to reflect upon his disruptive behavior and allows time to make a better decision regarding

his behavior and allows time to make a better decision regarding his behavior in class. If the unacceptable behavior continues while the student is isolated within the classroom setting, the teacher has to send the student out, probably to a counselor or an administrator, until further counseling can be done by the teacher with the student.

Ideally, the teacher and the counselor should have agreed that the teacher will have autonomy in the disposition of the student before he is allowed to return to class. When an agreement is made including the teacher, student, counselor, then the student is permitted back in class.

Steps 7-9: Student Responsibilities

Steps seven through nine are classified as student responsibilities:

7. Tell the Student to Stop Doing . . .
8. What are you Doing?
9. We've Got to Get Together to Make a Plan

This approach allows the student an opportunity to become involved in the decision making process.

Steps 10-12: Administrative Responsibilities

Steps ten through twelve are classified as administrative responsibilities:

10. Discussions Not Working. Provide a Place to Sit
11. Will not Sit - Out
12. Will not Sit in P.A.D. Go Home and Rest

Here the same process of counseling is utilized. If the student is not ready to make a plan for better behavior in the classroom, then the student is referred to the Positive Approach to Discipline (PAD) Center.

Step 13: Parent and Community Responsibilities

Step thirteen is classified as parent and community responsibility. It involves the referral of the student to an appropriate agency. The student is no longer able to function in the school setting and must be suspended pending parent conference or referred to an agency within the community setting, for example, youth action center, police department, or juvenile detention, or other agencies that cooperate with the school officials.

It is important to point out that, if the student changes his behavior after step six, the teacher, counselor, or administrator must be willing to start all over on the process.

The Positive Approach to Discipline Center (PAD)

The PAD Center is designed to serve as an on-campus suspension area within the school setting, thereby allowing the school and the student an opportunity to interact with each other through interpersonal agreements on unacceptable behavior. The primary purpose of the PAD Center is to serve as an alternative for suspensions from school.

A major emphasis of the PAD Center is to allow students the opportunity to become responsible for their unacceptable behavior. The center is intended to be a place of reflection for students to work on a plan to correct their unacceptable behavior, thereby allowing them to function in the school setting. The PAD Center is for students who do not respond to the efforts of teachers, counselors, and administrators to help them change their disruptive behavior.

The PAD Center operating procedures are thus:

1. Students are expected to sign in
2. Supervisor has a conference with the student concerning the following:
 - a. assignment to PAD
 - b. rules concerning PAD Center
 - c. homework assignment
 - d. how to earn early release from PAD Center
3. Supervisor pulls schedule card to
 - a. confirm home address
 - b. schedule of classes
 - c. parents sent letter regarding student's suspension to PAD Center
 - d. teachers are notified of student suspension to PAD Center
 - e. request homework assignment from teachers
4. Supervisor assigns student a seat
5. Student is given an interpersonal agreement form to work on while waiting for homework assignment

6. Student is expected to complete agreement before being reassigned to regular school setting (Classroom)
 - a. interpersonal agreement is to be signed by administrator or counselor and teacher before it is acceptable
 - b. students not following rules while in PAD Center are suspended pending parent conference; upon returning to school, student is reassigned to PAD Center to take care of 5 and 6a
 7. Students are not counted absent from school while in PAD Center; all homework completed is credited in regular classroom setting
 8. Students are isolated from school activities while in PAD Center
 - a. morning (a.m.) break for water and restroom while other students are in class
 - b. lunch break during time when other students are in class
 - c. afternoon (p.m.) break for water and restroom while other students are in class
 9. Indefinite period of time for suspension in PAD Center; release will be at discretion of PAD supervisor and classroom teacher, counselor, administrator, and the behavior of the student while suspended to PAD Center
 10. Follow-up for positive reinforcement after student has been released from PAD Center
 11. Follow-up letter to parents upon release from PAD Center
- The PAD Center is based on the concept of isolation from peers within the school setting and the provision of individual attention and counseling. PAD Center techniques are designed to enable the student to develop a plan or agreement for reinstatement into the mainstream of regular school life and, with support from the school staff, the student will be successful.

Appendix E

APPENDIX E

BIBLIOGRAPHY

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Appendixes

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- M. How the Title XX Social Services Program Works
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Appendix A: *Unique Features of Community Trust Foundations*

One of the fastest growing, but little known, funding sources is the community foundation. There are approximately 240 community foundations in America. According to John May, former director of the San Francisco Foundation, they are likely to grow in size and number. Community foundations, often referred to as Community Trust Foundations, range in size from large to quite small. The community foundation movement had its start in Cleveland, Ohio, with the Cleveland Foundation that was initiated by the banking community.

Community foundations differ from private foundations in their heavy emphasis on local community concerns and problems. Recent surveys indicate that community foundations distribute over 35 percent of their dollars to social welfare programs, followed by 40 percent to education and health programs, with the balance being spent on religion, the humanities, science, civic improvement and other causes. Community foundations have experienced outstanding growth since the passage of the 1969 Tax Reform Act that placed more restrictions on private foundations.

Understanding the structure and function of community foundations is confusing. There are basically four forms: Single Bank Trust, Multiple Bank Trust, Trust Form with an incorporated distribution committee, and Corporate Form.

- *Single Bank Trust*

Only a few community foundations use this form. Under this form one bank manages the foundation funds. Allocation of funds is the responsibility of the distribution committee.

- *Multiple Bank Trust*

This form is organized and functions as the Single Bank Trust with the exception that more than one bank participates and has the authority to specify how members of the distributing committee are appointed.

- *Trust Form with an Incorporated Distribution Committee*

This form functions as the above two with the exception that the distribution committee is incorporated as a non-profit

organization and the method of appointing members is provided for in articles of incorporation and by-laws.

- *Corporate Form*

This is the most flexible form. The responsibilities for investment and distribution rest with the corporation's board of directors. In most cases, a subcommittee of the board of directors handles the investment portfolio.

Community foundations represent approximately eight percent of the foundation wealth in the country. Their combined assets are over \$1.6 billion. Because of the favored-status of community foundations, many small foundations are converting to community foundations. Future prospects are for the IRS to set stiffer guidelines and regulations for community foundations.

Community foundations handle four general types of funds: Unrestricted funds which can be used in any manner the foundation's board of directors choose; Designated funds which are set aside for a particular area or field; Restricted funds are made available for grants to particular organizations; Donor funds allow the donor to provide "advice" in the distribution and investment of the funds.

Organizations seeking funds should find out what, if any, restrictions are placed on the community foundation funds, and if those restrictions help or hinder its program objectives. This information can be gleaned from community foundations annual reports or in conversation with the chief operating officer.

Community foundations differ from United Ways because the former gets its funds from wealthy individuals while the United Way depends upon a broadbase sector of the community to participate through payroll checkoffs and small contributions.

The United Way will usually fund organizations on a sustaining basis. The community foundation may provide a one-shot grant for a particular project. The United Way usually has a period of time that organizations must exist before United Way will give support. The United Way in your community is the best source of information on its guidelines, regulations, and priorities.

Appendix B: *Understanding Corporate Donations*

Corporate donations are difficult to document because corporate giving comes in different forms. Some corporations give money and others provide staff, equipment, materials, facilities, and technical assistance. Some corporations make grants directly from corporate funds; others set up foundations to handle requests from charitable sources. Since the 1960's, large corporations have begun to make "social investments" in urban areas. The prime example of this is the insurance industry, which organized the Urban Investment Program, capitalized at \$2.0 billion, to make loans to organizations in urban areas to facilitate the development of low and moderate income housing, commercial facilities, and financial institutions.

In some instances, corporate loaned staff can be more helpful than money. The loaned staff is usually from the mid-management level and well trained in planning, organizational development, and public relations. Quite often these are skills that non-profit organizations need most in structuring their program thrust and becoming more efficient and effective in the delivery of community services. A case in point is the Xerox and Zale Corporations. Xerox loaned mid-management level staff to the Committee of 100 in Dallas, Texas; while the Zale Corporation paid the salary of a secretary. This enabled the Committee of 100 to better structure its program thrust and organize its local fund raising-campaigns for sustaining the organization over the long run.

Because corporations are not in business to give away money, it is difficult to identify who to contact in the corporation. Unless members of your organization are on first name basis with corporate management, it is advisable to make contact with the vice president in charge of corporate relations, urban affairs, government relations, or public relations. If he is not the right individual, he can direct you to the person to see.

Your initial contact with a corporation should be with a letter of introduction followed by a telephone call and a personal visit. This is your opportunity to state your organizational cause and to request assistance. Do not be disappointed if your pro-

posal is not approved on your visit to the office. Proposals to corporations are usually reviewed by corporate committees that meet perhaps once a week or month, or when there are enough requests to consider. Find out who is the chairperson of the corporate committee, and if possible, make an appointment to visit his office and brief him on your proposal. Many corporate committees are rubber stamps and accept the recommendations of the chairperson because he is usually more senior than the other members of the committee.

Proposals presented to corporations should be directly linked to the corporate interest. For instance, large publishers are interested in supporting communication and writing seminars, while health related corporations are interested in health issues. Being located in the area of the corporation's headquarters is a plus and facilitates communications. Community foundations and trust departments at banks can be helpful in identifying potential corporations and providing access to the "right people."

Corporations will usually require grantee organizations to report on their activities on a quarterly basis and structure their donation payment around these reports.

*Appendix C: Foundation Center Collections (National Offices)**National Libraries*

The Foundation Center
888 Seventh Avenue
New York, New York 10019

The Foundation Center
1001 Connecticut Avenue N.W.
Washington, D.C. 20036

Field Offices

The Foundation Center — San Francisco
312 Sutter Street
San Francisco, California 94108

The Foundation Center — Cleveland
Kent H. Smith Library
739 National City Bank Building
629 Euclid Street
Cleveland, Ohio 44114

National Cooperating Collection

Donors Forum of Chicago
208 South LaSalle Street
Chicago, Illinois 60604

Appendix D: *State Foundation Directories*

<u>State</u>	<u>Name and Address</u>
Alabama	<i>A Guide to Foundations of the Southeast, Vol. IV</i> Davis-Taylor Associates, Inc. Route 3, Box 289 Ft. Morgan Rd. Williamsburg, KY 47069
Arkansas	<i>A Guide to Foundations of the Southeast, Vol. IV</i> (See Alabama for information)
California	<i>Guide to California Foundations</i> Northern California Foundation Group P. O. Box 5646 San Francisco, CA 94101 <i>Registry of Charitable Trusts</i> Wells Fargo Bank Building 5th Street and Capitol Mall Room 443 Sacramento, CA
Connecticut	<i>A Directory of Foundations in the State of Connecticut</i> Eastern Connecticut State College Foundation, Inc. P. O. Box 431 Willimantic, CT 06226
District of Columbia	<i>A Guide to Washington, D.C. Foundations</i> Guide Publishers P. O. Box 5849 Washington, DC 20014
Florida	<i>A Guide to Foundations of the Southeast, Vol. III</i> (see Alabama for information)

- Georgia *A Guide to Foundations of the Southeast, Vol. III*
(see Alabama for information)
- Illinois *Illinois Foundation Profiles*
Davis-Taylor Associates, Inc.
Route 3, Box 289, Mt. Morgan Rd.
Williamsburg, KY 40769
- Indiana *A Guide to Indiana Foundations*
(see Illinois for information)
- Kansas *Directory of Kansas Foundations*
Association of Community Arts Councils of
Kansas
117 West Tenth St., Suite 100
Topeka, KS 66612
- Kentucky *A Guide to Foundations of the Southeast, Vol. I*
(see Alabama for information)
- Louisiana *A Guide to Foundations of the Southeast, Vol. IV*
(see Alabama for information)
- Maine *Directory of Maine Foundations*
(See Connecticut for information)
- Maryland *1975 Annual Index Foundation Reports*
Office of the Attorney General
One South Calvert St., 14th Floor
Baltimore, MD 21202
- Massachusetts *A Directory of Foundations in the Commonwealth of Massachusetts*
(See Connecticut for information)

- Directory of Foundations in Massachusetts*
 Carol Fubini
 Division of Public Charities
 One Ashburton Pl.
 Boston, MA 02108
- Directory of the Major Greater Boston Foundations*
 J. F. Gray Company
 P. O. Box 748, Islington Station
 Westwood, MA 02090
- Michigan *Directory of Foundations in the State of Michigan*
 Dunham Pond Press
 Storrs, CT 06268
- Michigan Foundation Directory*
 Michigan League for Human Services
 200 Mill St.
 Lansing, MI 48933
- Minnesota *Minnesota Foundation Directory*
 Minnesota Foundation Directory
 101 Boy Scouts of America Bldg.
 5300 Glenwood Ave. North
 Minneapolis, MN 44522
- Guide to Minnesota Foundations*
 Minnesota Council on Foundations
 Suite 413, Foshay Tower
 9th & Marquette Avenues
 Minneapolis, MN 55402
- Mississippi *A Guide to Foundations of the Southeast, Vol. IV*
 (See Alabama for information)

- | | |
|----------------|---|
| New Hampshire | <i>A Directory of Foundations in the State of New Hampshire</i>
(See Connecticut for information)
<i>Directory of Charitable Funds in New Hampshire</i>
Office of the Attorney General
State House Annex
Concord, NH 03301 |
| New York | <i>New York Foundation Profiles</i>
(see Illinois for information) |
| North Carolina | <i>A Guide to Foundations of the Southeast, Vol. II</i>
(See Alabama for information) |
| Ohio | <i>Charitable Foundations Directory of Ohio</i>
Office of the Attorney General
30 East Broad St., 15th Floor
Columbus, OH 43215
<i>Ohio Foundation Profiles</i>
(See Illinois for information) |
| Oklahoma | <i>Directory of Oklahoma Foundations</i>
University of Oklahoma Press
1005 Asp Avenue
Norman, OK 73069 |
| Oregon | <i>Directory of Foundations and Charitable Trusts Registered in Oregon</i>
Department of Justice
Pacific Building
520 S.W. Yamhill
Portland, OR 97204 |

- Pennsylvania *Directory of Charitable Organizations - 1976*
Office of the Attorney General
Capitol Annex
Harrisburg, PA 17120
Directory of Pennsylvania Foundations
Friends of the Free Library of Pa.
Logan Square at 19th Street
Philadelphia, PA 19103
Pittsburgh Area Foundation Directory
Community Action Pittsburgh, Inc.
Planning & Research Division
Fulton Building
107 6th Street
Pittsburgh, PA 15222
- Rhode Island *A Directory of Foundations in the State of Rhode Island*
(See Connecticut for information)
- South Carolina *A Guide to Foundations of the Southeast, Vol. II*
(See Alabama for information)
- Tennessee *A Guide to Foundations of the Southeast, Vol. I*
(See Alabama for information)
- Texas *Directory of Texas Foundations*
Texas Foundations Research Center
306 West 29th St.
Austin, TX 78705
The Guide to Texas Foundations
Southern Resource Center
P. O. Box 5593
Dallas, TX 75222

- Vermont *A Directory of Foundations in the State of Vermont*
Eastern Connecticut State College Foundation, Inc.
P. O. Box 431
Willimantic, CT 06226
- Virginia *Virginia Directory of Private Foundations*
Department of Intergovernmental Affairs
Fourth Street Office Building
204 N. Fourth St.
Richmond, VA 23219
- Washington *Charitable Trust Directory*
Office of the Attorney General
Temple of Justice
Olympia, WA 98504
- Wisconsin *Foundations in Wisconsin: A Directory 1977*
The Foundation Collection
Marquette University
Memorial Library
1415 West Wisconsin Avenue
Milwaukee, WI 53233

Source: Council on Foundations

Appendix E: *Checklist for Assessing An Organization's
Funding Capacity*

The following is a five-point checklist for assessing your organization before the fund-raising program starts:

1. Who has responsibility for fund raising in the organization? Staff? Board of Directors?
2. Are your organization's goals and objectives clear and written in a fashion to be understood?
3. Does the staff and board of directors understand the organizational commitment required for effectiveness in fund raising?
4. Who has the responsibility for filing grant applications and proposals for funding?
5. Is the board of directors and management willing to administer a grant program in accord with agreed rules and regulations?

Appendix F: *Understanding the A-95 Review Process*

In an effort to foster local government coordination and planning, the federal government instituted the A-95 Review Process. It had its origin as Section 204 of the Demonstration Cities and Metropolitan Development Act of 1966 and was further legislated and expanded in the Intergovernmental Cooperation Act of 1968. The Federal Office of Management and Budget has the administrative responsibility for establishing policy procedures and overseeing the implementation of the process. Programs covered by the A-95 Review Process are listed in the Appendix of the *Catalog of Federal Domestic Assistance*. In addition to the local A-95 Review process, most applications for federal assistance must be submitted to the State Clearinghouse for consistency with state planning goals and priorities.

In most instances, the local Council of Governments (COG's) acts as the Clearinghouse. The following represents how the A-95 Review Process is supposed to work:

First. The applicant determines if the federal assistance being requested is required to be reviewed through the A-95 Review Process. This can be found by reviewing the Appendix of the *Catalog of Federal Domestic Assistance* or checking with the applicable federal agency.

Second. Notify the Clearinghouse of your intent to apply for federal assistance. They will have their forms for you to fill out.

Third. Staff at the clearinghouse conducts a review and notifies public agencies that might have an interest in the program seeking assistance.

Fourth. Public agencies review the proposed program and submit their comments to the Clearinghouse.

Fifth. If the clearinghouse or the public agencies are not critical of the proposed program, a "sign-off" is given. If there are criticisms, a conference is held with the interested parties.

Sixth. The conference is to clear the issues, with the intent of "signing-off" on the program.

Seventh. If the proposed program is not "signed-off," the clearinghouse will ask the applicant to submit a copy of the completed proposal for clearinghouse and public agency comments.

Eighth. The clearinghouse has 30 days to review and comment on the proposed program.

Ninth. Application is submitted to funding agency along with clearinghouse comments. Some applicants also submit rebuttals.

According to the OMB booklet, *A-95: What It is; How It Works*, funding agencies must return applications that do not show evidence that the A-95 Review Process was done. Funding agencies must consider the clearinghouse comments, but they do not have to abide by them. However, if awards are made despite clearinghouse objections, the funding agency must explain its position in writing.

The A-95 Review Process is not without critics. The Government Accounting Office (GAO) after a lengthy survey made some constructive recommendations for improving the A-95 Review Process. Non-profit community service organizations argue that they are not represented on the Board of Directors and, therefore, have no input to the application review and comment process. Minority group members are critical of the A-95 Review Process because very few minorities are represented and it smacks at regional government which would dilute minority political power in the central city. A survey conducted by the Advisory Commission on Intergovernmental Relations (ACIR) found that minorities only composed 7 percent of the Clearinghouses work force.

The A-95 Review Process is a political process. In many instances, applicant organizations have to use their political connections in working with the Clearinghouse. It would behoove community organizations to become more aware of the activities of the COG's and their Clearinghouse responsibility.

Appendix G: Proposal Development Checklist

	Yes	No
1. Does the proposal clearly state and document the problem to be addressed?	☐	☐
2. Are the goals and objectives consistent with the problems to be resolved?	☐	☐
3. Are the goals and objectives quantifiable to the extent possible?	☐	☐
4. Is the program design clear, concise, and supported by evidence of the problems and the stated goals?	☐	☐
5. Is the management strategy understandable and provides for accountability?	☐	☐
6. Is the budget supported by proper documentation and narrative?	☐	☐
7. Is the budget reasonable and consistent with other organizations undertaking similar projects?	☐	☐
8. Is the proposal/application organized for easy reading?	☐	☐
9. Does the proposal/application identify a contact person with address and telephone number?	☐	☐
10. Is there a plan of action for following up on the proposal/application once submitted?	☐	☐

Appendix H: *Guidelines for a Quality Proposal*

1. Prepare a professional plan for pursuing your organizational ideas.
2. Define why the program is needed.
3. Describe your organization and the people involved.
4. Prepare a plan for how your organization will become self-supporting.
5. How will the program help the community or the target group?
6. Is the proposal idea feasible and timely?
7. Is the sponsoring organization persistent, dedicated, and committed to the proposal ideas?

**Appendix I: *Key Items To Watch In Negotiating For
Federal Grants***

1. The grant payment method will either be a Letter of Credit, Treasury Check, or reimbursement. The Letter of Credit is the most advantageous method because it allows your organization and commercial bank to make draws from the Federal Reserve Bank.
2. If your grant involves a matching arrangement, the match should be clearly identified. The match funds can be cash, materials, equipment, buildings, land and/or volunteers.
3. Interest earned on federal grant funds belongs to the federal government. Other program income should be provided for in your grant program. These funds can be used to expand the program, serve as match funds, or applied toward reducing the amount of the federal grant.
4. Four standard financial reports are required. Know when they are due and the financial data they require.
5. Understand fully procurement standards and property management requirements. In some instances, competitive bidding is required and property purchased with federal funds have special restrictions regarding disposal procedures.
6. Federal agencies generally require grantees to retain program records for three years after program termination.

Source: FMC 74-4 and FMC 74-7.

Appendix J: *Communication Strategies for Non-Profit Community-Based Organizations*

Problem

Most community-based organizations do not understand the value of good media relations as a medium for developing positive public opinion and attitudes toward their program. This lack of media sophistication has left community-based organizations in an invisible role wherein the general public has not heard of them nor is it aware of their contributions to the community. The following is a list of 15 common sense points for better media relations.

Strategy Activities for Non-Profit Organizations

1. Prepare a master mailing list of the media. In large cities the Chambers of Commerce have already compiled these lists.
2. Identify news personalities that traditionally cover your type of program events.
3. Develop personal contacts with sympathetic reporters.
4. Prepare well-organized press releases.
5. Mail press releases to arrive four days before an event.
6. Follow press releases with a telephone call to the special reporter, newsroom, or city desk.
7. The first paragraph of the press release should be the "lead." It is the most important part of the press release. The lead paragraph should not be more than four lines, but should answer the important questions: Who? What? Why? When? And Where?
8. Do not try any fancy writing in your press release. Keep it short and simple but factual.
9. Conduct press conferences when your organization has an event that is newsworthy.
10. When possible, have available glossy, black and white action photos.
11. The best time to have a press conference is 10:30 a.m. The event will get coverage in the afternoon newspaper, the 6:00 and 10:00 p.m. evening television news, and the next morning's paper.

12. One person should be in charge of organizing the press conference. Remember to arrive early and have plenty of press kits. Have a list of press conference participants.
13. Write frequent letters to the editor, taking a position on various public issues that are of concern to your organization. These letters will put your organization on the editorial pages and help gain name recognition.
14. Prepare Public Service Announcements for radio and television. Use good graphic materials that get attention.
15. Develop personal relationships with person responsible for PSA's at the stations.

Appendix K: *Tips for Securing Grants From Local Governments*

1. Find out which federal programs are given to local governments with the intent for local grant-making authority.
2. Organize a Board/Staff Task Force to secure a grant.
3. Identify the key local elected and appointed officials; i.e. city councilman, city manager, etc.
4. Identify potential "friends" of your program area within the administration.
5. Learn the procedures, budget schedule, and policies of your local government.
6. Select a "feasible project" that you think your local government needs and you have the capacity to do.
7. Find a "friendly sponsor" for your project on the City Council or County Commission. This may often be your local immediate representative.
8. After submission of your proposal, monitor the actions of the local government body.
9. Have other community organizations send letters of support to the local elected officials and key administrative staff.
10. Political support may be necessary to get your grant or contract.

*Appendix L: Critical Steps In Personal Approach To
Fund-Raising Campaign*

1. Develop a list of potential donors.
2. Send a letter of introduction regarding your cause to the potential donors.
3. Call potential donors for an appointment.
4. Send potential donors pertinent information on your program, including success stories and accomplishments.
5. Make an appointment for at least one hour to explain your program and how the donor can participate.
6. Ask the donor for a specific sum of money, equipment, or services.
7. After the meeting with the potential donor, send him a personal thank you note.
8. Provide donors with appreciation certificates and other recognition for supporting your program.

Appendix M: How The Title XX Social Services Program Works

The federally supported Title XX Social Services Program is the largest program of its kind in America. All 50 states participate in the program through acting as the program administrator for the federal government. Over \$2.5 billion are allocated annually for the provision of social services. These services range from child care and family planning to senior citizens transportation to information, referral and counseling services. The intent of the Title XX Program is to provide assistance to persons with incomes up to 115 percent of a state's median income or the median income of all states, whichever is less. People with incomes in the 80 to 115 percent of median state income must be charged a fee for services rendered.

According to federal guidelines, The Title XX Program services are directed at five specific goals:

- to help achieve or maintain economic self-support to prevent, reduce, or eliminate dependency;
- to help achieve or maintain self-sufficiency, including reduction or prevention of dependency;
- to help prevent or remedy neglect, abuse, or exploitation of children or adults not able to protect themselves;
- to provide for community-based and home-based care as a means of preventing or reducing inappropriate institutional care; and
- to help provide care for needy persons when no other means of care are available.

Title XX Program regulations require 50 percent of the program funds be spent on welfare recipients. Under the program, states are required to put up 25 percent match, or allow other federal, state, local, or private funds to serve this purpose. In most instances, state government will supply the local match. United Way organizations in some communities have provided the local match as "disinterested third parties." In some states, the United Way organizations play an administrative role. Particularly in the South, they often provide the needs analysis and design the State Title XX Plan. The criticism of this approach is that United Way organizations, acting in an administrative

role, have only been concerned about giving support to their affiliated organizations and not including other eligible organizations in their service delivery system.

In most states, the county welfare department acts as the administrative agent and allocates the funds in the area. The criticism of this approach is that only public agencies are used to provide services while non-profit organizations are not considered. Title XX Program guidelines strongly suggest the use of non-profit organizations.

In addition to the \$2.5 billion ceiling on Title XX funds, social service funds under the Title XX Program can be used for training programs, administration, staff and clients. While program funds have a ceiling, training funds are open-ended. These grants are available for up to three years for educational institutions and other organizations.

Title XX Program funds cannot be used for cash benefits, capital expenditures, medical services available under Medicaid and Medicare, child care that does not meet federal standards, free educational services offered by the public schools, or employee sabbatical leave. Title XX Program funds can be used for a wide variety of social services. Only the state can decide the scope of services. The Title XX Program legislation restricts the Secretary of HHS concern to supervising the Title XX State Plan development process, which provides for citizen participation and broad advertising of the proposed goals and programmatic thrust of the State Plan.

It is estimated that only 30 states are spending their total allotment of Title XX funds. Several underspending states hold that they cannot afford the state match or find the program too complicated to administer. To find out if an organization is eligible as a "service provider," contact should be made with the State Department of Welfare or the County Welfare Office.

Appendix N: *Growth and Changes in Federal Funding*

The decade of the 1980's will show double digit inflation to be something that has become a way of life, compounded with increases in military defense budgets and the cost of imported oil. All these factors will affect the ability of the federal government to make traditional grants to other governments and non-profit organizations.

Starting with the Nixon Administration and New Federalism, the federal government has embarked on a strategy of grant consolidation. The primary federal block grant programs are:

- Federal Revenue Sharing Program instituted in 1972 to provide broad financial assistance to over 38,000 units of government at a budget of \$30.2 billion.
- Comprehensive Employment and Training Act passed in 1973, consolidating 17 categorical programs.
- Community Development Block Grant Program consolidated six categorical programs.
- Title XX Program block grant approach.
- Allied Social Services Act introduced but failed in Congress on several occasions.

With the exception of the Title XX Program and the Allied Social Services Act, the block grant programs initiated under New Federalism are administered by local government. The New Federalism Era was an attempt to turn government over to the cities and counties. Therefore, non-profit organizations have to turn to cities and counties to participate in these federal programs.

The CETA program allows the broadest participation for government agencies and non-profit organizations. The Federal General Revenue Sharing Program offers the least. CETA legislates the participation of community based organizations, while the Federal General Revenue Sharing Program is used almost wholly to supplement local tax supported programs. In essence, few non-profit organizations participate in the program. The City of Dallas, Texas, was one of the largest cities to set aside General Revenue Sharing Program funds for the benefit of supplementing the budgets of local non-profit community serv-

ice organizations. Dallas has since terminated the use of General Revenue Sharing funds in this way.

Several non-profit community service organizations participate in the Title XX, which is administered through State Government. Because of economic conditions and foreign policy priorities, it is unlikely that any new federal domestic programs will be initiated in the 1980's.

The priorities for federal grants have changed over time. Federal grants before the 1920's were geared toward education and agriculture. The two most noticeable federal programs of this era were the Morrill Act of 1890, which provided federal support to establish land grant public colleges and universities, and the 1916 Federal Highway Act for the purpose of building roads over which agriculture goods could be shipped to market.

Federal grants in the 1930's, 40's, and 50's were centered around and had their origin in the New Deal. The Hoover Commission, after a long study period, recommended that the federal government initiate a broad based grant-in-aid program. The Russians' launching of Sputnik gave rise to research and demonstration grants in science and aeronautics. The federal government set up such agencies as the National Aeronautics and Space Administration and gave support to high schools and college science programs.

A major study was conducted during this period which showed that the federal government provided over \$50 billion in one decade to subsidize business. These subsidies were in the form of loans, loan guarantees, and direct grants to farmers.

The decade of the 1960's gave rise to federal grants directed at the urban poor and disadvantaged. Popular social service grant-in-aid programs were:

- Office of Economic Opportunity (OEO) Program directed at setting up alternative neighborhood service delivery systems and mobilizing the poor and the disadvantaged for participation in local public affairs.
- Model Cities Program directed at providing select cities an opportunity to designate a neighborhood for rehabilitation.

- Housing Subsidies (Section 235 and 236 Programs) provided interest and rent subsidies for housing for low and moderate income families.

Since the Great Society Era, many of these programs have been deleted, modified, transferred into regular program missions, or eliminated. The 1980's will see an increased emphasis on energy related research and energy related demonstration programs directed toward conservation and developing new energy sources.

Appendix O: *How Citizens Participate in Public Programs*

Citizen participation in public programs has been around for a long time. Only recently, since 1964, with the Office of Economic Opportunity (OEO) Program has it been legislated that the poor and disadvantaged participate in programs that affect their neighborhoods and lives. Citizen participation in federally supported programs is a concept here to stay.

According to a report prepared by the Advisory Commission on Intergovernmental Relations, at least 75 percent of all federally supported programs mandate, require, or suggest citizen participation. Over half of the programs are administered by the Department of Health and Human Services and the Department of Education. More specifically, citizen participation usually takes the form of:

- organizing a citizen board of directors or advisory committee to make input into the program and monitor the program's performance;
- requiring public hearing to get citizen reaction to proposed program priorities and methodology;
- providing for citizen originated proposals for public programs.

The degree of attention given to citizen participation varies with programs. For example, the Community Services Administration, formerly OEO, and the Title XX Program put a high priority on citizen involvement. In contrast, the General Revenue Sharing Program mandates citizen participation; but it does not appear to be as effective because of the lack of enforcement.

The City of Dayton, Ohio, has taken a creative approach to citizen participation in its budgetary process. The city organized neighborhood elected community priority boards to recommend how neighborhood-oriented funds should be spent for neighborhood projects.

Citizen participation is primarily focused on the planning and budgeting phases of program development. In exceptional cases, citizen participation is witnessed in program implementation and program evaluation. The programs showing the most success

with citizen participation are those that provide training and technical assistance to citizen participation components.

The critics of citizen participation charge that the "appropriate people" are not participating. In essence, citizen participants:

- generally come from high and middle-income groups. When low-income persons are involved, they are generally mobile and not representative of the low-income and disadvantaged community.
- Program administrators generally co-opt the citizen participants, consequently, making citizen participation ineffective.

In addition, critics hold that citizen participation guidelines are fragmented and confusing. They feel that citizens are lead to expect unrealistic roles. The Advisory Commission on Intergovernmental Relations recommends that one federal agency have responsibility for promulgating guidelines for citizen participation.

To become more knowledgeable about citizen participation guidelines, it is wise to contact the appropriate federal agency regarding citizen participation requirements and training materials.

Appendix P: *How to Secure CETA Funds*

The national annual budget for the Comprehensive Employment and Training Act (CETA) Program is in excess of \$10 billion. These funds are administered by the Department of Labor, which makes grants to cities, counties, states, universities, and non-profit organizations. The bulk of these funds are budgeted to Local Prime Sponsors who have the responsibility for documenting the employment needs of the unemployed, underemployed and economically disadvantaged, and developing Manpower Plans for correcting these problems.

Local Prime Sponsors have the option of operating the programs themselves or sub-contracting with other government agencies and non-profit organizations for services. The latter approach is more widely used.

Grants under the program can be used to provide training and subsidized employment opportunities for the unemployed, underemployed and the economically disadvantaged. Federal funds can be used to recruit applicants, test for their deficiencies, classroom training, on-the-job training, employment, and follow-up.

Recently, increased attention is being given to using CETA as an economic development and employment development program. Some concern is being raised to linking CETA-CDBG-EDA programs for maximum coordinated impact.

Organizations and agencies interested in securing CETA grant funds should:

1. Contact the Local Prime Sponsor which might be a city, county, or state agency, and secure a copy of the latest edition of the Manpower Plan, with modifications.
2. Find out the order of the budgeting cycle and whether all funds have already been allocated.
3. Ask if some service agencies are underspending and would this provide an opportunity for your agency to be considered.
4. Secure local guidelines and application forms. The budget forms are very important.

5. Prepare your proposal/application and submit it in the appropriate time frame established by the Local Prime Sponsor.
6. Organize a follow-up campaign to stay current on your proposal's progress.

CETA is a politically oriented program. Your local political representative can be helpful in securing a CETA grant. Agencies and organizations operating CETA grant programs range from child care programs and drug abuse programs to job training organizations and arts programs.

Appendix Q: *Program Management and Managers*

The role and responsibility of program management is one of the most misunderstood functions in fund raising and grant administration. Program management has the responsibility for program goal attainment which calls for leadership on the part of the program manager. The program manager should be someone with training and demonstrated experience in grant administration. Some of the most common mistakes made in grant administration are:

- lack of understanding of the intent of the grant and not following the contract agreement between the grantor and the grantee;
- not providing the grantor with timely reports that truly reflect the conditions of the program;
- not understanding fiscal administration and the kinds of support data necessary for documentation;
- not providing for program continuation after the grant is terminated.

These common problems can be overcome through structured training and management technical assistance. Most government agencies and large foundations provide grant support assistance to grantees. In addition, grant program manuals are available and quite instructive for tips on program administration. The National League of Cities and the U.S. Conference of Mayors have various training seminars organized around large federal grants, although participation is usually limited to membership cities. A number of management consulting firms have valuable expertise that can be made available to program management for a fee. These consulting firms are organized to provide on-site assistance in the areas of program research, program planning, evaluation, and fiscal audits.

Grant programs make the most use of consultants in planning and organizing the program and assisting in program evaluations. Most grantors will allow consultant cost to be included in the budget. However, some federal agencies ask to participate in the consultant selection process or review and comment on the consultant selection criteria.

Professional management of grant programs is important. The performance of one grant program can effect the reputation and ability of the organization to secure future grants. Research has shown that grant program managers need to become more familiar with:

- logical approaches to organizing and staffing grant programs;
- fiscal controls and internal reports which are necessary for adequate financial systems;
- management information systems that provide the data base for where the program is at any point in time.
- program assessment processes that give direction to program performance.

Grant program managers are not born; they are trained and benefit from experience. The single most important responsibility of the Board of Directors is to hire competent program managers for program results.

Public criticism of non-profit organizations and their managers is wide spread. They are criticized for (1) not being "businesslike," (2) not being efficient and effective in program administration, (3) and not setting performance standards. Peter Drucker in his article, "Managing the Public Service Institutions," holds that non-profit organization managers need:

- (1) to define a mission and purpose for their organizational existence. They should determine "What business are we in?"
- (2) to set clear and recognizable goals and objectives for the organization to achieve. These goals and objectives should be consistent with the overall mission and purpose of the organization.
- (3) to set priorities for organizational efficiency and effectiveness. These priorities should have target dates, performance standards, and measurable results.
- (4) to establish gauges of performance to help the organization know what and when the goals and objectives are being achieved.

- (5) to establish feedback procedures for monitoring program performance and keeping management informed of program operations, and
- (6) to establish fiscal and performance audit standards to test which aspects of the program work and which aspects of the program need to be modified or deleted.

These suggestions offered by Peter Drucker will not serve as a panacea for good management, but they will help focus management attention on efficiency and effectiveness, which are the areas criticized the most.

Appendix R: The Volunteer Board of Directors

Policy development is a function of the Board of Directors. In government funded programs and non-profit service organizations, the board of directors is usually comprised of volunteers. These volunteers take various degrees of interest in their volunteer board responsibilities. However, the trend in the 1980's will be for volunteer Boards of Directors to be more responsible for the activities of their organizations. There are recent examples of volunteer board members being liable for the wrongful activities of their organizations. This has given growth to non-profit and government programs purchasing liability insurance for volunteer board members.

Volunteer Boards of Directors of non-profit organizations and government supported programs have a long history of providing citizen input into social welfare and charitable agencies. Volunteer boards usually exercise their role in three ways: trustee, delegate, or both. The Trustee Board of Directors sees itself as selected or elected to perform its task using its best judgment and responsible only to itself. The Delegate Board of Directors interprets its charge as representing the interests of the individuals or groups that selected them and often seeks outside consultation. The most common role for the volunteer board of directors is a combination of the Trustee and Delegate roles. On most issues that are routine in nature, the board of directors will act in the trusteeship role. In matters of grave possible consequences, the board of directors will act in its delegate role and seek outside advice and assistance in making the right choices.

The primary duties of the volunteer board of directors is to (1) develop policy, (2) formulate long-range plans, (3) develop the operating budget, (4) raise funds, and (5) provide oversight for program operations. In conducting these tasks, the volunteer board of directors will usually work through established committees of the board. Standing committees should include and be responsible for:

Budget, Finance, and Audit Committee

- establish budgetary goals and objectives for the organization with the assistance of the Executive Director and Chief Fiscal Officer.
- organize fund-raising strategies for raising the funds needed to support the budget, e.g. United Way, federal grants, individual contributions, etc.
- monitor management's stewardship over organizational assets.
- supervise accounting and auditing process through establishment of reporting procedures and commissioning of independent annual audits.

Personnel and Membership Committee

- establish board policy for management personnel selection and performance appraisal.
- establish criteria for selecting new members and terminating delinquent members of the board of directors.
- screen and offer candidates for board membership.

Program Committee

- establish program goals and objectives for the organization. This should be done with the assistance of the Executive Director.
- monitor and conduct periodic evaluations of program performance and recommend corrective action approaches.

Executive Committee

- usually comprised of the officers and committee chairpersons. It functions in the absence of the full board of directors.
- establish operating policies for the board of directors, e.g. operations manual.
- provide direct oversight of program management performance.

In many instances the volunteer board of directors and staff have difficulty understanding their individual jurisdictions because of unclear conceptions of the duties and responsibilities of each other. To help reduce board/staff tension, the following recommendations are offered:

Volunteer Board of Directors Responsibilities

- Become knowledgeable about what your agency does and its position in the community.
- Learn the personalities of the Board of Directors and understand what community interests they represent.
- Learn your board's policy formulation procedures and the role of the chairperson and executive director.
- Understand your agency's financial status and personnel policies.
- Take an active role in setting the agency's goals and objectives, planning its service delivery system and making legal obligations.

Agency Staff Responsibilities

- Understand that the director's role is to execute the policy positions of the Board of Directors.
- Stay in constant contact with key members of the Board of Directors.
- Provide leadership to the staff in accomplishing the agency's goals and objectives.
- Provide the Board of Directors with regular feedback/status reports on major projects.

An agency's effectiveness depends on the Board of Directors and staff working together. Unity in mission is a prerequisite to goal attainment.

ABOUT THE AUTHOR

Theodore M. Lawe, Executive Vice President of his own management and applied research consulting firm, has spent much of his professional life working with grant making organizations and governments. He has served at the managerial level of a number of public and quasi organizations. He served as Assistant to the City Manager of Dallas, Texas, for over four years. His major assignment was to direct the City's Office of Human Development, which had over a \$30 million annual budget and charged with making grants to other governmental agencies and non-profit community organizations. In addition, the author has served as Executive Assistant to the Mayor of Detroit, Michigan, and Director of Research, Planning and Evaluation with New Detroit, Inc., a public foundation. These experiences have afforded the author an opportunity to observe and participate in the fund securing process in both the public and private sectors.

The author has assisted, as a consultant, government and community charitable organizations in successful fund raising and program grant management.